Oregon State University
Administrative Policies and Procedures

Archives & Records Management Handbook

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Archives & Records Management Handbook

About the Archives and Records Management Handbook

Panoramic view of campus, Fall 1923. This view of the Oregon Agricultural College campus was taken from the heating plant's newly built smokestack by Thompson & Watson, photographers, of Eagle Rock, California. The photo was originally published in the November 18, 1923 Sunday Oregonian. *[OSU Archives P176:414.]*

The fourth edition (February 2000) of the Oregon State University *Archives and Records Management Handbook* is one volume of the *OSU Policies and Procedures Manual*. This version of the Archives Handbook completely supercedes previous editions published in April 1987, March 1993, and April 1996.

Unlike previous handbooks, this edition does not contain the entire OSU Records Retention and Disposition Schedule. In order to make the schedule more user friendly, and based upon feedback from several departmental records officers, the handbook includes the 94 most frequently used records schedule dispositions. The entire records retention schedule is available via the University Archives Website or in hard copy form from the University Archives (541-737-2165; Archives@oregonstate.edu). OSU's records schedule is a customized version of Oregon Administrative Rule (OAR) 166-475, which covers records at all Oregon University System campuses and offices. OAR 166-475 was approved on November 1, 1999 and expires on November 1, 2004.

The handbook will be periodically updated as policies and procedures of the OSU Archives and Records Management Program change and evolve. The handbook is also available via the University Archives Web site at the URL above.

Larry Landis
University Archivist
1 February 2000

Archives & Records Management Handbook

Chapter 1 Responsibilities of the University Records Management Officers

Oregon Agricultural College faculty, staff and students gather for a college community meeting on the lawn in front of Benton Hall, 1916. In addition to prominent faculty members such as OAC President William Jasper Kerr, Dean of Home Economics Ava Milam, and Dean of Forestry George Peavy, this photograph included many of the support staff essential to the departmental and administrative offices of the college.*[OSU Archives P46:46.]*
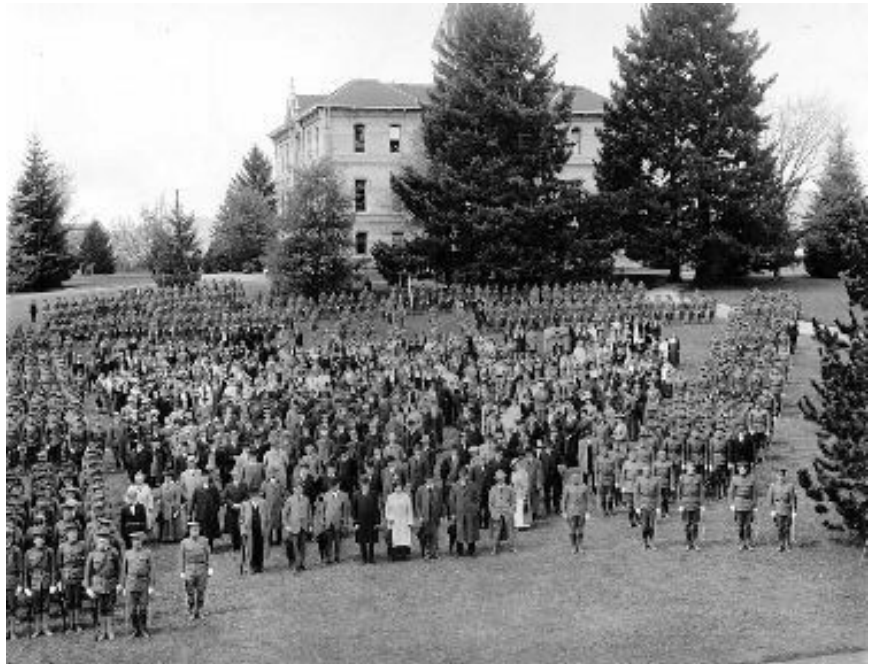
An effective records management program requires the cooperation of all university offices and departments. Each unit is mandated to appoint or designate a records management officer (RMO) who will be the liaison with the Oregon State University Archives and Records Management Program. It is recommended that the RMO's responsibilities be incorporated into his/her position description.

The unit RMO is charged with the following responsibilities:

- Care for and supervise the arrangement of departmental records.

- Organize department records flow.

- Provide the department with up-to-date information regarding retention and disposition of records.

- Maintain control over confidential records, including their access, storage, and destruction.

- Organize and supervise the periodic weeding of departmental files.

- Assist University Archives staff in setting retention periods for unscheduled records.

- Serve as the liaison with the University Archives for all transactions pertaining to the department's records.

- Provide reasonable access to the department's non-confidential records.

- Identify and oversee the transfer of permanent records to the University Archives.

- Provide for the orderly storage of inactive and temporary records in adequate storage areas.

- Work with office/department faculty and staff to ensure proper management of electronic records, particularly e-mail.

- Work with the staff of the University Archives in the proper disposition of records when programs and departments are eliminated, transferred, or combined.

- Work with University Archives and departmental staff in determining the best filing systems and equipment for the office.

The University Archives maintains an e-mail list to distribute records information to departmental RMOs and to foster discussion about records related matters. To subscribe to the RMO list, please contact the University Archives at Archives@oregonstate.edu or 7-2165.

Note to Records Management Officers: If you are either an RMO who will be giving up this responsibility or a new RMO, please contact the Archives staff.

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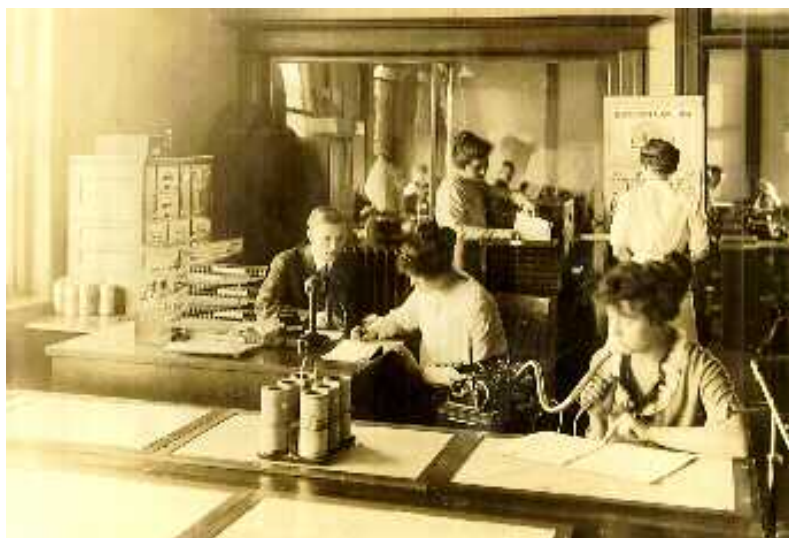
School of Commerce Office Training Lab, 1915. In 1915, the Department of Stenography and Office Training offered courses for four types of students: those seeking training as typists and stenographers; those wanting to go into the fields of court reporting and secretarial work; students desiring to enter the teaching profession; and teachers of business and commerce seeking advanced training. *[OSU Archives #882.]*

Records Management Policies

The OSU Archives and Records Management Program assists departments and offices with problems and questions relating to filing, storage, retention, and destruction of university records. Records management policies are authorized by the State Archivist and applied and implemented by the University Archivist. These policies include:

- **Designation of the agency Records Officer.** Oregon Administrative Rule (OAR) 166-30-016 mandates that each state agency designate a Records Officer. The University Archivist fulfills this function. In turn, each university department and office has been mandated to designate a records management officer (RMO) who shall be responsible for the oversight of all records transactions, ensure an organized records flow, and provide for the appropriate retention and disposition of all public records within the office.

- **Disposal of records.** As part of an effective records management program, state agencies are legally obligated to promptly dispose of state records without continuing value (OAR 166-05-000). Lawful authorization to dispose of public records is obtained through the OUS Records Retention and Disposition Schedule maintained by the University Archives (OAR 166-475). Retaining records longer than the retention schedule authorizes causes unnecessary legal and fiscal liabilities and is strictly forbidden.

- **Unauthorized destruction and tampering.** Unauthorized destruction of public records is considered tampering, which is a Class A misdemeanor — Oregon Revised Statute (ORS) 162.305.

- **Destruction of confidential records.** Records which are confidential by law or contain information exempt from public disclosure by law are to be destroyed by pulping, shredding, or incineration (OAR 166-30-060[2]). These methods of destruction are specified so that records may not be viewed or used by unauthorized persons after they are removed from the office of creation.

![Oregon State University Administrative Policies and Procedures](logo)

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Records Management Justification

Every office and department on campus is faced with problems of storage space, as well as decisions about which records to keep and which to discard. The Oregon State University Archives and Records Management Program assists offices and departments with these problems and decisions. It strives to achieve economy and efficiency in the creation, use, maintenance, and disposal of public records. Records management also affords legal protection for the institution as well as satisfying federal and state statutory requirements.

Economy
After personnel costs, records keeping is the largest expenditure of government. Record creation, maintenance, filing, office storage space, filing supplies, and equipment all contribute to the high cost of keeping records. Certain strategies can greatly reduce these costs.

- Dispose of records as soon as legally possible. Approximately 95 percent of all records are non-permanent; an estimated 85 percent have a retention period of ten years or less.

- Store records with low reference activity in low-cost, non-office storage space.

- Use appropriate and efficient filing equipment and systems.

Efficiency
Good records management makes records keeping easier and more productive. Having fewer files in the office filing system makes individual record retrieval and refiling easier and faster, and reduces the number of misfiles. Nearly 14 percent of all records are misfiled at some time, at a cost of more than $165 per misfile. A file check-out procedure for both active and inactive files also makes refiling easier and more accurate.

Legal Protection
Records management reduces nuisance litigation by reducing the quantity of records that attorneys may subpoena through the legal process of discovery. Following records retention schedules assures courts, litigants, and auditors that records are being disposed of properly and in a routine manner, not maliciously or in a capricious way.

Statutory Requirements

Records management is mandated by state law. Several state statutes and administrative rules pertain to public records:

Oregon Administrative Rule (OAR) 166-30-016 states that each state agency will establish a records management program by designating an agency records officer to "organize and coordinate records scheduling, retirement, central storage, and destruction." At Oregon State University, the University Archivist is the designated agency records officer and is charged with implementing records management policies.

OAR 166-05-000 states that "it is the policy of the State of Oregon to assure the preservation of records essential to meet the needs of the state, its political subdivisions, and its citizens, and to assure the prompt destruction of records without continuing value." Over time, many records cease to be of value to the state or to the public, and prompt disposal of those records is essential to reduce costs and to improve access to those records that continue to have value.

Oregon Revised Statute (ORS) 192.105 allows the State Archivist to authorize the retention or disposition of public records in the custody of state agencies, based upon the legal, administrative, and research value of the records. The statute also directs the State Archivist to establish rules for the retention and disposition of public records.

Men in an Office Training class, School of Commerce, ca. 1923. Office training was not limited to women. Anyone seeking a bachelor's degree in the School of Commerce was required to take at least twelve credits of Office Training classes -- six credits each of Typing and Office Methods & Appliances. *[OSU Archives #882.]*

ORS 192.420 gives every Oregonian the right to inspect any public record of a public body in the state; exceptions are noted in ORS 192.496 and 192.501 to 192.505. ORS 192.430 requires custodians of public records to furnish reasonable access to the records in their offices during regular business hours, and to furnish facilities for reviewing the records.

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Principles of Records Management

Records management is based upon the records series concept and two primary principles, the "records life cycle" and "records appraisal." The basic unit used in all discussions of records management and all records retention and disposition schedules is the record series. A record series is a body of records or documents which may be filed and maintained together as a unit throughout the life cycle. Records in a series are related because they result from the same accumulation or filing process, the same function, the same activity, have the same or a similar form, have similar or related contents, or because of some other relationship arising out of their creation, receipt, or use.

Records Life Cycle
Records, like living organisms, have life cycles. They are created or received (born or adopted). At this stage their physical form (paper, electronic, magnetic, photographic) and informational content are established. Records are then used and maintained (they mature). They are referred to, revised, refiled, and occasionally reorganized. It is generally true that the need to refer to files declines sharply as their age increases. As records reach the end of their active lives, they are disposed of in some manner: they are destroyed, reformatted, transferred to inactive storage, or transferred to the University Archives.

Controlling records throughout their life cycle is the basis for records management. During the creation phase, records can be controlled through forms management (establishment of standards for forms creation, design, analysis, and revision), correspondence management (establishment of uniform systems for formatting, preparing, and processing correspondence), and copy management (determining how many copies are needed, what they will be used for, how they are distributed, how they will be made in the most economical manner, and avoiding unnecessary copies).

During the use/maintenance life cycle phase, filing system design is critical in controlling records. Questions about the use and control of records should be posed and answered before a single file cabinet or folder is purchased. Will the filing system be centralized or decentralized? Will the filing arrangement be numeric, alphabetical, or a combination of both?

The disposition phase of the life cycle is critically important to proper and economical maintenance of office records. Many records can be legally destroyed at the end of their active lives. Others become semi-active and should be retired to a records storage area or reformatted for more convenient storage. Microfilming and digital

imaging are the most common form of reformatting. Records with continuing long-term value are sent to the University Archives for permanent storage.

Records Appraisal
Determining the value of a record series is known as "appraisal," the second basic principle of records management. Appraisal is the process by which archivists determine the administrative, legal, and fiscal value (primary value), and the historical and long-term research value (secondary value) of records. Once the value of a record series has been determined, a realistic retention period can be assigned to it. Appraisal can take place at any point during a record series' life cycle, but is most frequently done when the records become inactive.

Appraisal Considerations
Some of the considerations taken into account during the appraisal process include:

- physical volume (expressed in terms of cubic or linear feet);

- frequency of use (daily, monthly, yearly);

- administrative and operational need served by the record;

- legal and fiscal regulations governing retention;

- historical significance;

- economic advantage of moving the records from high cost office storage to low cost records storage space or direct disposal;

- whether it is the record copy or a duplicate.

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Records Retention and Disposition Schedules and Scheduling

Regular retirement and annual purging of inactive records from active files is essential to reduce file bulk and make active records easily accessible. A Records Retention and Disposition Schedule is the fundamental tool used to keep old and obsolete records moving out of an office to make room for more recent and more useful records.

A records retention schedule identifies record series and prescribes the time period that they must be retained before they reach their ultimate fate or disposition. The disposition of a record, as prescribed in a records schedule, may range from immediate destruction or destruction after a period of time to permanent retention in the University Archives or elsewhere.

General Records Schedules
The general University Records Retention and Disposition Schedule identifies most record series created by offices of the University and prescribes retention periods and dispositions for them.

The 1999 edition of the schedule is a customized version of the records schedule created for the entire Oregon University System and approved as Oregon Administrative Rule 166-475. This schedule integrates schedules from the 1993 and 1996 OSU Records Retention Schedules, series dispositions derived individually from the 1992 system-wide records inventory project, and new series identified through records reviews of and conversations with offices and departments throughout the Oregon University System. This schedule was updated in February 2003.

Special Records Schedules
If a record series is not listed in the general University Records Retention and Disposition

Schedule, the department's Records Management Officer (RMO) should contact the University Archives. The archives staff, after reviewing the general schedule, may determine that a special schedule is required, and will help you with the scheduling process.

The process for creating a special schedule begins with an inventory or analysis of the records in question. The records will be reviewed to determine function, quantity, date span, frequency of use. This information will be analyzed by the Archives staff, and a proposed disposition (including a retention period) will be drafted. The proposed disposition will be sent to the State Archives in Salem for additional review by State Archives staff, and in certain cases, the Secretary of State's Division. Once it has been approved by the State Archives, the retention period can then be applied to the records. Copies of each special schedule disposition created will be sent to the department holding the records and kept at the University Archives.

Retention Periods

The term "retention period" refers to the maximum and minimum lengths of time that a record must be kept by law. The retention periods prescribed in the university records schedule are exact retention periods, which means that the department must keep a record series at least as long as the schedule retention period (minimum), but no longer (maximum). An exception to the mandatory destruction of a record series at the end of its retention period occurs when the record series is required for or involved in litigation, criminal or civil investigation, audit, or is needed for ongoing administrative purposes. There is no exception to the requirements for the minimum retention of a record series.

Several different retention period designations are used in the University Records Retention and Disposition Schedule, including "Permanent," "Until Superseded," "Until Obsolete," or a specific number of years. "Permanent" indicates that the record series will be kept indefinitely, or at least 100 years. This designation is given to all records that the University Archives determines to have continuing historical value. Most records with a permanent retention period are transferred to the University Archives when they become inactive. In a few instances, however, records with a permanent retention period are maintained in the offices of record, not the University Archives.

"Until Superseded" is the retention period assigned to records that are routinely updated or revised and where the previous version has no continuing value. "Until Obsolete" is assigned to record series that become valueless on a non-routine basis. Retention periods that are a specific length of time are based upon usage factors and legal requirements, such as audits.

Calculating Retention Periods

Retention periods usually begin at a chronological file break, such as the fiscal, calendar, or academic year. The retention period applies to all records created during the time period. For example, the record copy of many accounting records has a four-year retention period, by fiscal year. The retention period for journal vouchers created during the 1998-99 fiscal year (July 1, 1998 -June 30, 1999) began on July 1, 1999. After four years, on July 1, 2003, they will be

eligible for destruction.

![Oregon State University Administrative Policies and Procedures](logo)

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Filing Systems and Equipment

Filing Systems

Filing is one of the most important tasks in any office. If the proper records are not kept and filed so that they can be retrieved when they are needed, then they serve no useful function. Filing can be an extremely complex task with very intricate systems. Filing systems may be direct or indirect and require an intervening index to be accessed.

Whichever filing system or systems you may adopt for your office, keep these two evaluative principles in mind. First, the simpler the filing system is to use and to teach, the better it will serve your long-term needs. Simplicity in filing systems sacrifices specificity or locality precision, but gains much in ease and speed of use. The second principle is to file records in the scheme that best helps you to retrieve them. The simple form of the proverb is: "file for retrieval." For example, do not file invoices under invoice numbers if you retrieve them by vendor name.

There is no single filing scheme that is the best for every office. There may not even be a single filing system that is best for every record series within a single office. One needs to remember that the simpler the filing system and the easier its use, the more people will use it and the easier it will be to train filing personnel. Even more importantly, one needs to remember that the filing system adopted should allow one to file for efficient retrieval.

George R. Hyslop, head of the Farm Crops Department at his desk, ca. 1940. Although Hyslop's desk-top filing system may have worked well for him when this photograph was taken, this is not a recommended practice for today's departmental chairs. *[OSU Archives #1439]*

Please see filing materials previously published in the *OSU Record*, the newsletter of the University Archives, and State Archives Bulletin 6.1, *Filing Systems*.

The staff of the University Archives can help you with evaluating and adopting filing systems for your office records. Please contact the University Archives staff for assistance.

Filing Equipment
The filing equipment in your office has a significant impact on the efficiency and the effectiveness of your record keeping systems. The space in your office which is devoted to filing equipment is extremely valuable and is more costly than you might imagine. It is estimated that the dollar cost of maintaining 8 cubic feet of records (the content of a 5-drawer letter size vertical filing cabinet) in an average state office for one year is more than $2100 per year.

The cost estimate cited above demonstrates the high cost of maintaining files in an office. However, it can also be used to show the high cost of using inefficient and costly filing equipment in prime office space. Almost all types of filing equipment are in use on the Oregon State University campus. Each type of equipment has advantages and disadvantages and its own degree of cost efficiency (*see table below*).

Filing efficiency may be determined by dividing the equipment's floor space (access space required) by its linear-filing feet capacity. The resulting number is the efficiency rating. A higher number denotes greater efficiency.

Efficiency by Equipment Type

Equipment	Rating	Equipment	Rating
Mobile Shelving (lateral)	2.44	5-tier, lateral file cabinet (doors)	1.25
8-tier, Times Two style	2.41	5-drawer cabinet, vertical letter size	1.02
8-tier, open-shelf lateral file	2.32	42" 4-level open shelf	1.02
7-tier, open-shelf lateral file	2.00	4-drawer cabinet, vertical letter size	0.96
7-tier, Times Two style	1.85	3-tier lateral file cabinet (doors)	0.85
6-tier, open-shelf lateral file	1.81	5-drawer cabinet, vertical legal size	0.84
6-tier, letter-size lateral file	1.72	4-drawer cabinet, vertical legal size	0.83
6-tier, Times Two style	1.56	3-drawer cabinet, vertical letter size	0.61
6-tier, legal size lateral file	1.51	3-drawer cabinet, vertical legal size	0.51
Vertical, mobile shelving, 3 ft. deep	1.38	2-drawer cabinet, vertical legal size	0.34
5-tier, Times Two style	1.31		

Filing equipment is produced in a variety of styles and each style has inherent advantages and disadvantages. There are trade-offs between filing convenience and protection and cost efficiency. Purchasing filing equipment is a complex matter and input from the users is invaluable. The staff of the University Archives is willing to provide guidance and advice in the purchase of filing equipment that meets the need of your office with the greatest cost efficiency.

Some of the most popular types of filing equipment used by the University are discussed here.
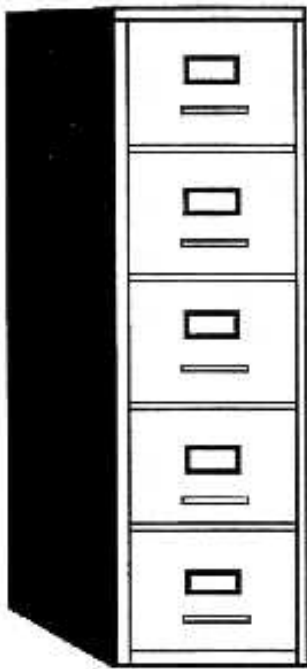
Vertical File -- Vertical filing cabinets are the most common type of filing equipment used in individual offices on campus. They are available in a variety of materials and a number of sizes. The larger legal size cabinets are significantly less space efficient than the more common letter size cabinets. The more drawers a unit has the more space and cost efficient it is; two-drawer or three-drawer legal size vertical filing cabinets are among the least efficient records alternatives available.

Vertical filing cabinets in general require a large amount of floor space. Not only do they require several square feet of floor area to sit on, but full access to the drawers requires an average of 42 inches of aisle clearance. An advantage of vertical filing cabinets is that they can provide fire protection when units are specially insulated, and they do provide controlled access when equipped with locks. Locks on vertical filing cabinets are generally not of sufficient quality to actually provide security, but they can provide controlled access. Vertical filing cabinets are most suitable for small record series that are not accessed frequently and contain files in either alphabetic or topical arrangements.

Lateral File -- Lateral filing cabinets primarily come in 32-, 36-, and 42-inch lengths and in 15-inch depths. The lateral filing system holds side tab folders or top tab file folders which are normally filed from left to right, much the same way as in the shelf file arrangement.

Most popular units have pull-out units which permit top tab or side tab filefolders to be used. The pull-out drawer features generally require about 30 inches of aisle clearance space for full access.

These cabinets are among the most versatile of all filing units and can be used equally well for legal and letter size files. However, they are not very economical in terms of cost or floor space requirements. The cost of lateral cabinets and the space that they occupy is greater per filing inch than either vertical cabinets or shelves. Like vertical files, lateral cabinets offer the advantages of controlled access with locks and some fire resistance.
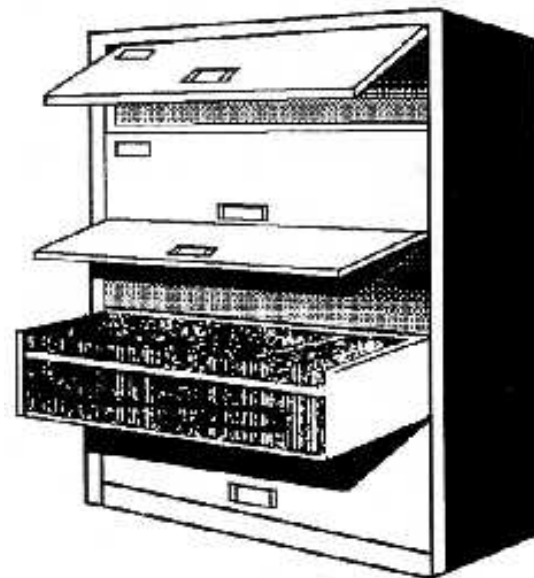
Shelf File -- Shelf filing systems store records on open horizontal shelves rather than in closed drawers. File folders of either legal or letter size are stored in rows with side tabs facing outside for ease of reading and retrieval. While a few units of this type do have doors, the vast majority are sold without doors; therefore, files are protected neither from fire nor unauthorized access. Equipping shelf files with doors adds significantly to their cost and negates many of the advantages of easy access by many users.

Shelf files are ideal for large record series and work equally well for numeric or alphabetic filing systems. It is a system which works best when entire case files are pulled and not individual documents within a file folder. Color coding of file folders adds to the increased filing accuracy which can be achieved with open shelf filing systems.
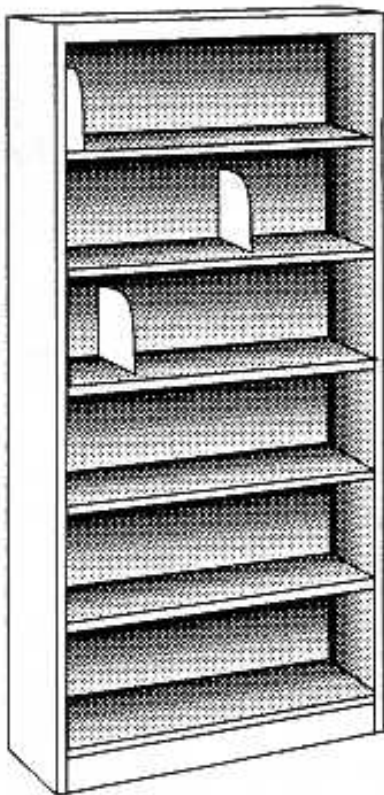
The open shelf file unit is the most economical of all available filing systems and can provide answers to problems originating from rising file costs, lack of office space, and file retrieval difficulties.

Mechanized File -- Mechanized filing equipment is a class of office filing equipment which is not seen very often at the University but is present in a few offices. This class consists of a wide variety of forms ranging from huge electronic units which move tubs of files up and down to others which are human powered that simply move conventional shelves to face the user. All of these systems use energy to bring the files to the location of the user; the user is not moving to fixed file locations.
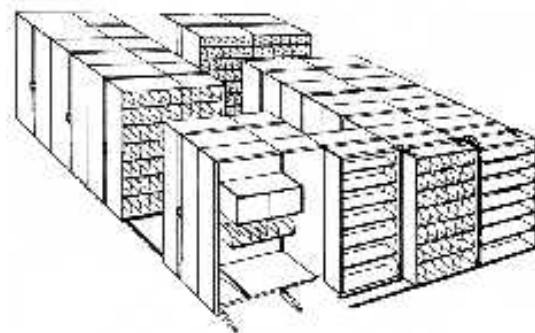
The cost of this class of file equipment varies greatly as does the cost of installing it. Generally, however, one can be assured that this type of equipment is more expensive than non-mechanized file equipment and its advantages of space compaction should be very carefully analyzed before it is adopted over more conventional file storage systems.

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Reformatting

Microfilming

Microfilming is one of the oldest, most stable, and most useful tools available for storing information efficiently and effectively. Microfilming, when applied to the proper records for the proper reasons, can greatly benefit an office creating records. Among the potential benefits that can be achieved by microfilming the appropriate records are: security of information from loss, file order and content integrity, space savings, easy and inexpensive duplication and distribution, and speedy retrieval.

The University Archives will contract to microfilm non-permanent and selected permanent records that meet the above criteria. The current charge for filming is $.11 per image. Several commercial vendors are available in the area, particularly for large microfilming projects. All microfilmed records must conform to the standards outlined in OAR 166-025. Please contact the University Archives for additional information on planning and bidding microfilming projects.

Oregon State College Kerr Library staff member Rodney Waldron with a new portable microfilm reader, December 1958. Modern microfilm technology has been around since the mid 1930s. Microfilm has been a part of the Valley Library's holdings since at least 1939 and has been used as a storage medium by the University Archives since 1966. Waldron joined the OSC library staff in 1954, and served as Library Director from 1965-1984. [OSU Archives P82:74.]

For additional information on microfilming see State Archives Bulletin 9.1, *Introduction to Micrographics*.

Digital Imaging

While microfilm is one of the oldest media for storing images of records and documents, digital imaging is one of the newest. Both microfilming and digital imaging are methods of reformatting records created in another format or media, usually paper. Electronic records are not part of this discussion as they are already in digital format.

As a process, digital imaging consists of converting a document from paper to a digitized electronic image stored either on magnetic media, optical media, or a hybrid magneto-optical media. In current digital imaging applications, the paper document is recorded much as a photograph is made. Individual light or dark portions of a document are recorded as a light or dark pixels or picture element, much as the light areas and dark areas of a scene are recorded as light or dark points on the photographic emulsion of camera film. The light and dark map is then stored on an optical disk as digital bit streams. The appearance of the document is turned into a digital form; the actual information elements within the document are not turned into digital character information. The process of scanning a document and translating its data elements into digital information involves the optical character recognition (OCR) process, a technology not addressed in this work.

Oregon Administrative Rule (OAR) 166-17 addresses the use of digital imaging systems by state agencies. Among the considerations in the OAR are:

- All digital imaging systems that store digitized public records with a retention period of ten years or more shall have system documentation on file with the agency records officer. If the life expectancy of the system is less than the retention period of the records it stores, system documentation shall also include a description of how access to digital images of records will be maintained. (166-17-0020)

- All documents in a digital imaging system shall be indexed and retrievable. Document image indexes shall be preserved as long as the document images in the system are maintained. (166-17-0040)

- Digital images shall be recorded and stored by means of a technology that does not allow their subsequent revision or replacement. (166-17-0050)

- Only optical disks with a 20 year life expectancy based on accelerated aging tests linked to specific disk locations may be used. (166-17-0050)

- Public records with a scheduled retention period of less than 100 years may be stored on optical disks. The original record may be disposed of following verification of acceptable optical image quality. Images stored on optical disks shall be copied onto new optical disks after no more than ten years. (166-17-0080)

- Public records with a scheduled retention period of 100 years or more may be stored on optical disk devices provided that the original records are retained in hard copy or on microfilm for the entire scheduled retention period. (166-17-0080)

See also State Archives Bulletin 8.1, *Introduction to Electronic Document Imaging Systems*, and State Archives Bulletin 8.2, *Digital Imaging Feasibility Study* for additional information.

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See also State Archives Bulletin 8.1, *Introduction to Electronic Document Imaging Systems*, and State Archives Bulletin 8.2, *Digital Imaging Feasibility Study* for additional information.

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Electronic Records

Electronic records are informational files or data files that are created and stored in digitized form through the use of computers and applications software. Electronic records are distinct from digitized images as they are created as electronic documents and not converted from another form to a digitized picture. Digitized documents are, for the purposes of this discussion, not electronic records. Electronic records are always machine dependent formats; thus electronic records are accessible and readable only with the assistance of digital processors.
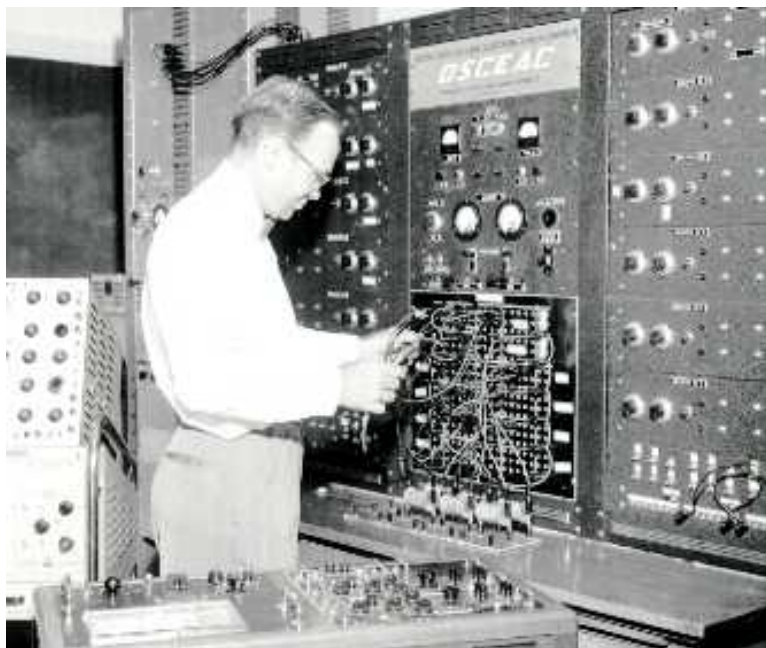
Harvey Christensen works on the Oregon State College Electronic Analog Computer, ca. late 1950s. Electronic records have been a part of OSU's information infrastructure since at least 1951, when the machine was developed as a student project. The machine was dedicated "to those who cannot integrate."

Harvey Christensen joined OSC's Mechanical Engineering Department Faculty in 1947 as an instructor. He earned an M.S. at OSC in 1950, and left the College for the University of Arizona in 1958. *[OSU Archives P82:137.]*

Although audio and video tapes are forms of electronic records, they are excluded from this discussion because their retention and disposition are discussed extensively in the body of the University Records Retention and

Disposition Schedule. Electronic records are the products of computers and computer applications software; electronic records by definition do not include the software used in the record creation or record keeping process. Computer programs, unless customized and developed as part of a research project, are not considered electronic records. Computer software, like the computer hardware necessary to run the software, should be considered an office supply or item of equipment and not an electronic record in and of itself.

Legal Nature of Electronic Records

Electronic records information may be stored on a variety of magnetic and optical storage devices. The format of an electronic document does not change the fact that it is a record in the legal and practical sense, but its electronic form and its dependence on machines for creation and reference does change the way these records must be stored and managed.

Oregon law clearly includes all electronic information and record formats as public records. Oregon Revised Statutes (ORS) 192.005 defines a public record as ". . . a document, book, paper, photograph, file, sound recording, machine readable electronic record or other material . . . regardless of physical form or characteristic, made, received, filed, or recorded in pursuance of law or in connection with the transaction of public business . . . ." This view of electronic records is inclusive of any information created and recorded on a computer by a public employee regardless of its confidentiality or legal restrictions upon its public disclosure.

Electronic records are included in the Oregon Public Records Law; access to and disclosure of information contained in them is made under the same set of rules that cover paper-based public records. Questions about access to electronic records and requests for access to public records should be referred to the University Archivist or the University Legal Advisor.

Formats

Electronic Record Formats -- Electronic records or files have many different forms and formats. The lines separating the types of electronic records have become increasingly blurred. Numerous software applications have the capacity to combine graphics, text, and sound into single records. Networked systems allow multiple authors to work on a single document. As software becomes increasingly sophisticated, the electronic record can assume different forms depending on the software used to access it. There are, however, some distinct types of electronic records which can be identified and their dispositions easily determined.

Text Format -- Although text has traditionally been used to prepare hard copy records through the use of word processing and desktop publishing software, text documents are now often created for use only in machine readable form. However, the vast majority of textual electronic records continue to consist of drafts and copies of correspondence, memoranda, reports, and publications distributed in hard copy form. In addition to word processing and desktop publishing software, many other types of software (including spreadsheets and database management programs) can be used to create text documents.

Database Format -- Databases consist of data elements organized and stored so that the elements can be manipulated or extracted to serve diverse applications. However, the database as a whole is managed electronically and independently of the special application. Databases contain large amounts of information organized in data fields which may contain text, numbers, graphics, or mixed character elements. A database may be as simple as a five-field 100-record mailing list on a microcomputer or as complex as a 100- field, 1,000,000-record multi-user system employed by large governmental agencies.

Databases are created and accessed through a variety of commercially developed and customized database management systems (DBMS). Reports based on database information are often printed out, but databases remain

in electronic form and are rarely printed out in their entirety.

Electronic Mail Format -- Electronic mail (e-mail) consists of any memo, letter, note, report, or communication between individuals and groups that is stored and/or transmitted in a format that requires an electronic device to capture and access. E-mail is perhaps the most common electronic record format found in most offices on campus. Electronic mail systems are designed to automate office communications. Most important messages that perform a directive (policy or procedural) function are correctly printed on paper and filed in the office files. However, the vast majority are transitory and exist only in electronic form.

Voice Mail Format -- Voice mail consists of messages recorded on the university computerized telephone message system. Voice mail allows the recipient to hear and respond to telephone messages at a later time.

Electronic Publications Format -- Public access servers provide access to electronic files to anyone, worldwide, who has compatible systems and appropriate connections. Public information servers are tools for distributing information electronically and serve as a form of electronic publishing. Public information servers usually consist of software that link remote and networked personal computer work stations to a central file server and through that to similar file servers located elsewhere. The World Wide Web servers at the University are a common type of public information server. The files located on public information servers must be considered publications.

New IBM machines in the Oregon State College Business Office, January 1948. At about this time, IBM was developing its first generation of computers. [OSU Archives P82:1.]

Graphics Format -- Commercial packages containing graphic applications are widely available and allow users to create graphics ranging from simple figures and tables to extremely complex images. Digitizing scanners and video conversion hardware also allow for the direct conversion of visual images into digital format for electronic manipulation and storage.

Electronic Records Retention Guidelines

Text and Data Files -- Electronic records which are meant to be documents are generally developed through a word processing or database application. If your office prints out documents produced and retains them in hard copy, the electronic copy may be deleted immediately. If you retain the record copy of a document only in electronic form, then it should be kept for the period of time specified in the University Records Retention and Disposition Schedule. For example, electronic records created as part of a scientific research project should be retained for the period of time specified in the Grant Project Research Records or the Laboratory Notebook record series disposition found in the Grants & Research Section of the University Records Retention and Disposition Schedule.

If a classroom instructor maintains students' grade records only in electronic form, the electronic records should be kept for the retention period specified under Teachers' Grade Records disposition in the Student Records Section of the University Records Retention and Disposition Schedule.

Electronic Mail -- The person who transmits an e-mail message is responsible for retention of that message in accordance with retention guidelines described below. Messages received by an individual or office on the e-mail system may be deleted when the messages no longer have administrative value.

The nature of electronic mail communications allows us to use the retention periods in the University Records Retention and Disposition Schedule for the vast majority of records transmitted by e-mail. Please note that if an item of correspondence falls into a category which requires that it be retained more than a few years (such as Administrative Correspondence, which has a five year retention period), it should be printed out and filed as part of the regular office files. E-mail messages which are printed out should normally be deleted in order to reduce unnecessary duplication.

Records which will ultimately go to the University Archives for permanent retention must be printed out. The Archives does not accession or provide reference services to permanent records in electronic format at this time. For additional information on e-mail, see the State Archives' *E-mail FAQ*.

Voice Mail -- It is recommended that substantive messages be retained for the automatic storage period of ten days and be allowed to be automatically deleted by the system at the end of ten days. If a message has an administrative, fiscal, legal, or historical value that exceeds the ten-day default retention period, then it is recommended that the message be summarized or transcribed and filed with the appropriate administrative records in the unit's files. Messages lacking substantive content, such as "call me back" and "please send me a copy of" should be deleted after hearing.

Public Information Server -- The files located on public information servers are considered publications. Electronic publications should be printed out and retained in hard copy exactly as printed publications would be retained and preserved.

Fiscal Records -- If records of financial transactions are created or maintained in electronic form, e.g. ledgers, journals, balance sheets, spreadsheets, etc., then they should be retained in electronic form until they are released from audit. Whether fiscal documents are printed out or converted to microfilm, the State Audits Division of the Secretary of State's Office requires that the electronic form be available for audits. This requirement does not prevent an office from removing the electronic records from the system for storage on magnetic media such as tape or disk.

If inactive electronic records or systems in your custody do not easily and logically fit within a record series addressed in the University Records Retention and Disposition Schedule, several critical questions should be answered in order to determine the appropriate disposition. When an electronic record created and maintained in your office is no longer essential to performing ongoing functions, they should be disposed of as any obsolete or useless paper record.Electronic Records Management Recommendations

Electronic Records Management Recommendations

Active Electronic Records Systems -- Electronic records systems that have continuing utility and value must be actively maintained by the creating unit. Maintaining these systems will entail routine system backup and may involve periodic or scheduled recopying data from old to fresh storage media. OAR 166-020-0045(2) also directs state agencies to "store security copies of essential electronic records systems off the premises where the system is used, along with any system documentation necessary to enable recovery of the system in the event of an emergency."

Continued maintenance of electronic systems may require the records management officer to migrate records and data to new systems that can take advantage of the most current systems hardware and software. Prudent management requires that offices and units committing long-term records to electronic records systems provide a system and data migration plan to the agency records officer (University Archivist).

Staff and equipment in the OSU Computer Center, ca. 1967. When this photograph was taken, large magnetic tapes were the primary storage media for electronic records. *[OSU Archives, P151:246].*

The plan should specify a schedule for data back-ups and recopying as well as require backwards compatibility of a new electronic records system. Backwards compatibility means that, to perform continuing functions, new systems must be able to access and read previously created electronic records and data.

Backup Recommendations -- In order to protect valuable university data from accidental erasure, disaster, or system malfunctions, a backup procedure should be in place for every office on campus. The frequency of data backups should be determined by office personnel based on the frequency of data changes and the volume of records affected by the periodic changes. Some offices may need daily backups to protect vital records; others may require only weekly or monthly backups.

Standard procedure dictates that the "three generations" backup rule be followed for all units. The three-generation procedure requires that the three most recent backup tapes or disks be kept at all times and that the oldest backup copy be used for making a new backup copy. Similarly, it is recommended that some type of off-site storage of backup tapes or disks be arranged. At a minimum this means that backups should be stored in a building on campus separate from the facility housing the electronic records system.

Destruction of Confidential Electronic Records -- More and more records maintained by the University contain confidential and personal privacy information, particularly records maintained in electronic form. Special methods of destroying confidential paper records are discussed at length in Chapter 3. It is equally important that electronic records containing confidential or personal privacy information be destroyed in a careful and confidential manner.

When record data on removable electronic media, such as diskettes and CD-ROM, contain protected information and the data for reasons of obsolescence are no longer needed, it is important to destroy the actual magnetic storage unit. It is not wise to send diskettes out of the office for use by others, even if the diskettes have been reformatted. The nature of magnetic media makes it easy to recover files that have been recorded even if they have been erased or the media reformatted.

The same cautions must be exercised when surplusing computer equipment containing hard disk drives. Hard disk drives must at least be reformatted before they leave the office for another department or surplus property. If the hard drive contains confidential information it is advisable to delete the contents of the drive using one of the commercially available erasing and data blanking programs. The most desirable solution to the potential loss of control over confidential or personal privacy information is to remove and retain the hard disk drive in the office or destroy it.

Managing Electronic Records of Long-term Value -- If an inactive record system must be retained for a period exceeding one year, special measures must be taken to keep the information accessible. This requirement is due to the instability of magnetic media and to some accessibility considerations unique to electronic records. Records that will ultimately go to the University Archives for permanent retention must be printed out on good quality white paper. The Archives cannot accession or provide reference services to records in electronic format at this time.

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Chapter 2 Records Management — General Information

Confidentiality and Access

Although state records law guarantees citizens rights to public records, state and federal statutes and regulations affect the public's access to certain types of records.

Oregon Revised Statutes (ORS)192.501 and 192.502 generally exempt from disclosure several categories of records. Those exemptions that pertain to higher education may include tests and examination materials, archeological site and object information, personnel discipline actions, threatened or endangered species information, faculty research, personal privacy information, employee or volunteer addresses and telephone numbers contained in personnel records, workers compensation claim records, and library circulation records.

Oregon Higher Education Law, ORS 351.065, generally restricts access to personnel records maintained by institutions within the Oregon University System for twenty five years. It also guarantees an employee's right to his or her personnel records. Oregon Administrative Rule (OAR) 580-022-0090 prescribes employee information that may be disclosed without the consent of the employee. This information includes:

> directory information, that is, information generally needed in identifying or locating a named faculty member including such information as is readily found in published documents such as institutional catalogs; objective evidence of a faculty member's academic achievement, limited to information as to the number of credits earned toward a degree or in postdoctoral work, and certificate(s),

diploma(s), license(s) and degree(s) received; salary information and the record of terms or conditions of employment.

The Federal Educational Rights and Privacy Act of 1974 (FERPA) and its Oregon equivalent, ORS 351.070(4)(e) restricts public access to most student records and information without consent of the student. However, University officials who have a demonstrated need to know as part of their official duties may have access to relevant student records.
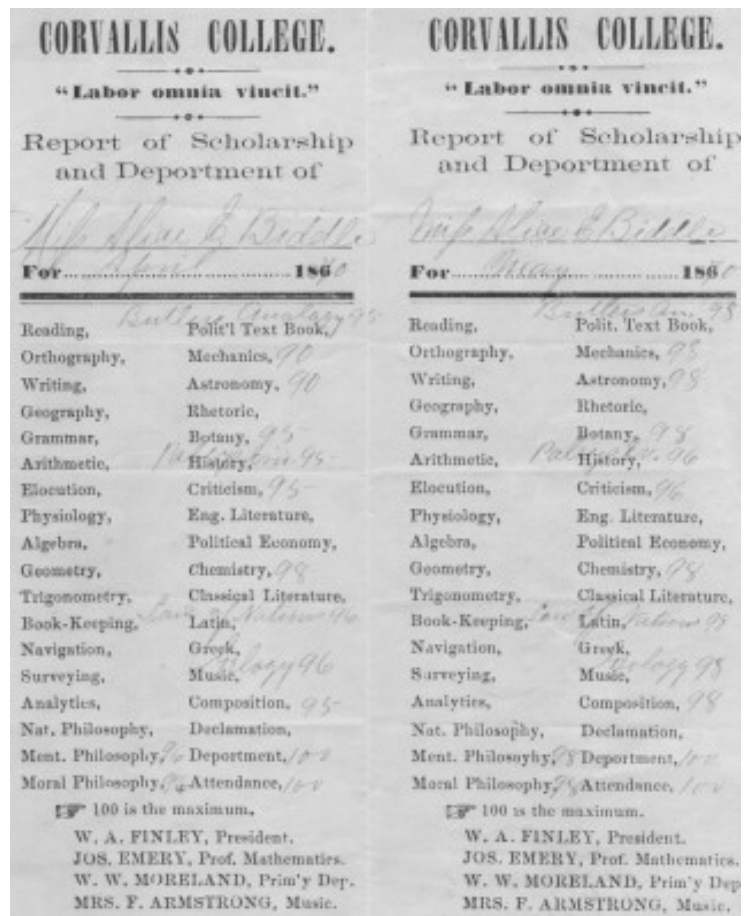
Grade Reports for Alice Biddle, April and May 1870.
Alice Biddle was a member of the Corvallis College Class of 1870, OSU's first graduating class. Many types of student information, including grades, are confidential under state and federal records laws and are exempt from disclosure. *[OSU Archives MC-Report Cards.]*

"Directory" information may be released without a student's consent. OAR 576-020-0010 defines OSU directory information to include:

Student name
Current mailing address and telephone number
Current e-mail address (ONID address only)
Campus office address
Class standing
Month and day of birth
Major field of study
Full-time or part-time enrollment status
Status as a graduate teaching assistant or graduate research assistant
Participation in officially recognized activities and sports
Dates of attendance

Degrees and awards received
Most recent previous educational institution attended

Students may request in writing to the Registrar's Office that all directory information be kept confidential. The restriction remains in effect until revoked by the student even if the student leaves the University or graduates.

Records access and information disclosure are very complex issues. Consequently, this section should not be considered legal advice. When questions arise, there are several sources of guidance:

- Refer questions about disclosure of and access faculty and staff personnel records and information to the Office of Human Resources.

- Refer questions about access to student records to the Office of the Registrar.

- Other questions about record access should be referred to the University Legal Advisor's Office.

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Chapter 2 Records Management — General Information

Subpoenas and Other Court Orders

From time to time, certain university records are required for litigation. Subpoenas and other court orders, such as requests for production, are the legal documents issued by courts which require the University to produce certain records. As long as the subpoena or court order is valid, the University is obligated to comply with it. If a court order or subpoena is issued to produce student records, the University is usually obligated to notify the student of this fact. Please contact the University Archives or the Legal Advisor's Office should your department or unit receive a subpoena or other court order for university records.

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Chapter 3 Records Management -- Services to Departments

Personnel Files Maintenance and Access

Personnel Records System

The institutional copy of university personnel records, (classified and non-classified), administered by Human Resources, are microfilmed and computer indexed by the University Archives. Use copies of the filmed personnel files are maintained in the Human Resources office and the University Archives.

Employment Records and Verification

As part of the personnel files maintenance function, the University Archives is responsible for completing employment verifications on all previous employees, including student employees. Employment verifications for current employees are completed by the Office of Human Resources. Employment verification requests come from credit bureaus, financial institutions, prospective employers, and other entities with a legitimate need for personnel information. If your office should receive an employment verification request, please forward it to the Archives if it concerns a former employee (including student employees), or to Human Resources if it concerns a current university employee.

Personnel documents and microfilm jackets, University Archives, ca. 1975. The University Archives has had the responsibility for maintaining the university's personnel records since the early 1970s. Initially the records were filmed and stuffed into microfilm jackets. Today, the records are filmed and indexed on a computer assisted retrieval (CAR) system. *[OSU Archives P169:85.]*

Much of the employee information maintained by OSU is confidential; please see the **Confidentiality and Access** section in Chapter 2 for a list of employee information (faculty and staff) that can be released without an authorization from the employee. Questions about personnel information release policy should be directed to Human Resources Employee Records and Information at 7-3103.

The Family Educational Rights and Privacy Act (FERPA), affects the way Oregon State University departments must handle requests for information about students who are employed by the University. Any employment records related to a student who is employed because of his/her status as a student at Oregon State University may not be disclosed without the consent of the student. This includes Graduate Teaching Assistants and Graduate Research Assistants, even though they hold an academic appointment. Such records are protected student records and do not fall within the exception for directory information (see **Confidentiality and Access** in Chapter 2 for student directory information which may be disclosed).

Every request for student employment information must be accompanied by a written authorization to release the information signed by the student (or his or her legal representative). An authorization form for the release of privacy information should contain a statement that specifies what information may be released. The following is an example of a statement you may find in an authorization for the release of employment information:

> I authorize Oregon State University to provide (name of company) any and all information and documentation that they request, including personnel records, payroll records, attendance records, termination documents, or any other such documents concerning my employment or employment related activities.

An original or photocopy of a signed information release authorization form is acceptable if it is not more than two years old.

Questions about the release of student employment information should be referred to the University Archivist or the Legal Advisor's Office.

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Chapter 3 Records Management -- Services to Departments

Temporary Inactive Records Storage

Semi-active or inactive records that do not have a permanent retention period should be considered for transfer from active office filing systems to a temporary records storage area, either the University Records Center or a departmental records center.

University Records Center
The OSU Archives and Records Management Program maintains a small University Records Center in Weniger Hall for storage of non-permanent, inactive records. Priority is given to those records that contain confidential information (such as student files or search records) and/or have a retention period of 3 to 25 years. Legal custody of records stored in the University Records Center remains with the originating department and consequently access is limited to staff of that department and of the Archives.

West side of Weniger Hall, soon after completion of the north addition, Fall 1962. The University Archives developed a university records center in Weniger Hall in the Fall of 1994. *[OSU Archives #2915]*

Following is the procedure for transferring records to the University Records Center:

- Call 7-2165 or e-mail the Archives at Archives@oregonstate.edu to schedule a date for transfer of the records to the University Records Center.

- Transfer files into records storage boxes. Be careful not to overstuff the boxes; allow 1.5 inches of empty space in each box to facilitate retrieval and refiling of records.

- Double check your boxes to make sure that all records are facing the same direction and are easily identifiable.

- Label each box (on the long side) with the following information:

  - department name
  - record series
  - inclusive (earliest and latest) dates of records being transmitted
  - portion of the record series enclosed in the box, e.g. file folders 1-50
  - box #/total, e.g. Box 1/3
- If box contains several types of records, prepare a list of the folders in each box (container list) with the name and/or number from each folder.

The Archives staff will complete a Records Center Transmittal Form and send it to you. When you receive the completed transmittal form, sign the "transmitted by" section of the form and return it and the folder listing (if the accession is large and needs one) with the records to the University Archives at KAd 94; do not send them to Weniger Hall. A copy of the completed form will be returned to you. The Archives staff will move, or depending on the volume, arrange for Campus Freight to move the records to the University Records Center.

If you need to retrieve a file (either temporarily or permanently), contact the University Archives. Archives staff will need the following information from your copy of the Records Center Transmittal List to retrieve the file:

Accession number.
Box number.
Folder name or number.
Temporary or permanent (removed from accession) checkout.

In most instances, retrievals can be completed that same day. If you need access to a large volume of records, call the Archives to set up a time for a staff member to accompany you to the University Records Center.

A month prior to the determined destruction date, an Archives staff member will send you a Records Destruction Authorization form for your approval. If any of the records are involved with or germane to audit, litigation, or ongoing administrative action, arrangements will be made for retention beyond the scheduled destruction date. Any records not authorized for destruction (except for the reasons given above) will be returned to the originating office for further retention due to space limitations in the University Records Center. Records from the University Records Center eligible and authorized for destruction are disposed of confidentially. Departments are billed for this service by Campus Recycling.

Departmental/Office Records Centers
Many offices have chosen to set up their own storage area for temporary records. Factors pertaining to the facility, equipment, and supplies to be used should be considered before developing a storage area.

The area should be accessible -- close to the offices it serves, to an elevator, and, if possible, to a loading dock. The area needs to be functional, not decorative. It does not need carpeting, and warehouse lighting is acceptable. Lighting should be able to be turned off when the area is not being used by someone. The area should have reasonable environmental controls -- approximately 65-75 degrees F and 45-55% relative humidity. Security is one of the most important factors. Ideally the space should have no windows, a single entry or exit, a locked door, and a limit on the number of people with access. If the space is part of a larger area, it should be caged off. The area should also be outfitted with a smoke alarm and fire extinguisher or sprinkler system, and be located away from water and steam pipes.

College of Veterinary Medicine records storage area. The College has set up its own records storage area for efficient storage of inactive, non-permanent records. *[Photo by University Archives staff]*

Industrial grade, open metal shelving is ideal for an office records storage area. It is available from a variety of suppliers in varying heights and with individual shelves that are one or two cubic foot boxes deep. A ladder or kick stool may be necessary if the shelving is more than five shelves high. One cubic foot records storage boxes work well and are available from Boise Office Solutions (stock #401) and other office supply vendors. Each box should be labeled to include series title, inclusive dates, portion of the records series enclosed, and box #/total. If the storage area is being used by more than one office, labels should include the office name as well. Please feel free to call (7-2165) or e-mail (Archives@oregonstate.edu) the University Archives for additional information about setting up a records storage area.

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Destruction of University Records

The central purpose of the University Records Retention and Disposition Schedule is to prescribe the length of time that records created or received by the University must be retained and when they must be destroyed. At the end of their retention period, non-permanent records must, by law, be disposed of promptly and properly to avoid unnecessary interference with the conduct of current office functions. An important secondary function of the schedule is to make departmental Records Management Officers (RMOs) aware of record series that might possibly contain confidential information. A Confidential Destruction notation is located in a box at the end of the selected record series dispositions throughout the university records schedule.
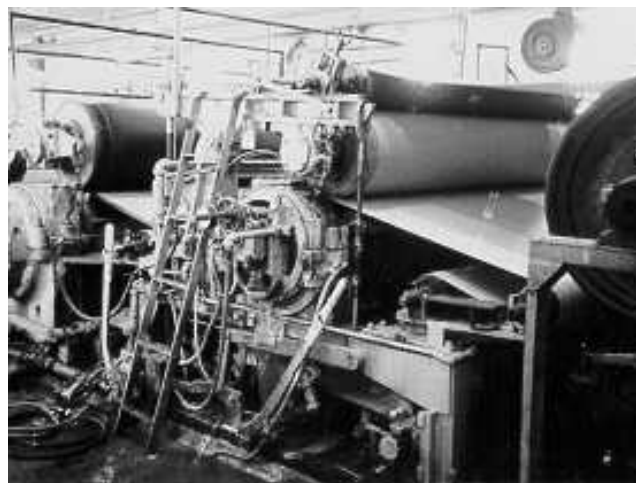
Papermaking machinery at the Crown Zellerbach mill in Lebanon, Oregon, 1947. This mill produced paper products for nearly a century, from 1889 until 1980. Recycled university records are made into new paper products by similar mills. *[OSU Archives P216.]*

Here is an example:

*CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the OSU **Archives and Records Management Handbook** for more information.*

Disposing of Confidential Records
A significant quantity of records created and received by the University contain confidential information elements

such as Social Security numbers, home addresses, and other personal privacy information. If university records contain confidential information, their removal from the office and their destruction must receive special care.

Oregon Administrative Rules recognize the need for special care in disposing of records containing confidential information; OAR 166-30-060(2) stipulates that "Records which are confidential by law . . . must be destroyed by shredding, pulping, or incineration." The University Records Retention and Disposition Schedule attempts to assist the Records Management Officer (RMO) in identifying records series that contain confidential and privacy information by use of the confidential destruction note.

In order to make the destruction of confidential records both convenient and reliable, the Oregon State University Campus Recycling Program provides services for offices needing to destroy paper records or microforms which contain information that may be confidential. For paper records that contain confidential information, Campus Recycling offers secure confidential records destruction service to all departments on campus, currently at a cost of 15 cents per pound. Records to be destroyed must be packed into either a photocopy paper box, a box with a lid the size of a photocopy paper box or a records storage/pulping box. New records storage/pulping boxes are available from Boise Cascade (part # E5-93766/stock #401) for about $1.50 each (the price varies slightly from order to order), and can be ordered in lots of 25. Used records storage boxes are available from Campus Recycling for $ 0.50 each.

OSU Campus Recycling program, Spring 1991. Since 1991 OSU's Campus Recycling program has evolved into one of the premier recycling programs among the state's colleges and universities. The program coordinates disposal of both confidential and non-confidential university records that are eligible for destruction. *[OSU Archives P94 Acc. 96:083.]*

An alternative to using many boxes when an office has a large quantity of confidential records to be destroyed is to use a locking 30-gallon or 90-gallon green cart. Campus Recycling will furnish these as requested, either for a temporary "cleaning out" period of time, or for continuous use. When the cart is full, lock it with the padlock attached to the cart, and contact Campus Recycling for a pick up. After the records have been picked up, Campus Recycling stores them in locked metal containers until they are picked up and destroyed by the Garten Foundation.

Each box or green cart should be clearly marked "TO BE SHREDDED" and labeled with the following information: office name, name and telephone number of a contact person, and the index code to be charged. Standard labels to fit the green carts or to attach to boxes are available from Campus Recycling. Because the boxes must eventually be emptied and reused, Campus Recycling prefers that you do not apply tape to the boxes. If you must apply tape, please use only a small amount. Please do not overfill the boxes.

If you have less than 20 boxes, please call Campus Freight (7-4019) for a pickup. If you have 20 or more boxes,

please call Campus Recycling (7-2925 or e-mail recycling@oregonstate.edu) to make arrangements for a pickup. On the Web, Campus Recycling has a form that you can use to request a special pickup, including confidential recycling.

If you or your staff have any questions about the OSU confidential records destruction program, please contact the Recycling Coordinator at 7-2925 or e-mail: recycling@oregonstate.edu.

Disposing of Microforms

Campus Recycling provides a service for the confidential destruction of microfilm and microfiche. Please send your microfiche or microfilm which contain confidential information to Campus Recycling in an envelope or box clearly marked "TO BE SHREDDED - MICROFORMS" and labeled with the following information: office name, name and telephone number of a contact person, and the index code to be charged. If you use the standard labels from Campus Recycling, please add the word "Microform" to the label. The microforms will be accumulated and sent to the Garten Foundation where they will be incinerated at the current charge of $1.00 per pound. There are currently no recycling alternatives for the diazo based microforms which do not contain confidential information; please dispose of these in the trash.

Paper Shredders

An office shredder may superficially appear to be a good solution to the problem of destroying small quantities of confidential paper records. However, the University Archives strongly discourages the purchase of mechanical shredders. While paper shredders may appear to be an inexpensive method of disposal, they are labor-intensive and prone to malfunction. Shredded paper is more trouble to recycle because it is bulky and expensive to ship. Since the paper fibers are cut during the shredding process, shredded paper can be recycled fewer times than sheet paper.

Disposing of Non-Confidential Records

Records that contain no confidential information should be recycled. Campus Recycling collects office paper products for appropriate recycling and can pick up boxed records to be recycled. There are currently no recycling alternatives for the diazo based microforms which do not contain confidential information; please dispose of these in the trash.

Bag stands and boxes for paper recycling are located near every employee on campus. There are separate bags for two of the most common recyclable grades of paper. Campus recycling can also furnish upon request either a 30-gallon green cart, or for larger clean out projects, 90-gallon green carts that can be used for recyclable paper. In addition, any material which is shredded may also be collected in a bag to be recycled.

Disposing of Non-Record Materials

Certain Oregon statutes and administrative rules identify materials that may be purged from files without further authorization or reference to the OSU General Records Retention Schedule. Non-record materials should be promptly removed from departmental files when no longer needed for reference. Either recycle or dispose of them as trash.

Examples of Non-Record Materials

Library Materials: Includes books, pamphlets, circulars, newsletters, brochures, catalogs, advertisements, and similar published material. Also included a bibliographies, directories, and tabulations or compilations of information made or acquired and preserved solely for reference or exhibition purposes.

Extra Copies: Copies created and preserved only for reference convenience.

Excess Stock: Includes both excess stock of publications and forms.

Duplication Masters: Includes stencils, mats, dictation recordings if fully transcribed, tab cards, punched tape, punched cards, and magnetic recording media created and used solely for transfer of data from one medium to another, such as CD-ROMs, disks and floppy disks.

Individual Employees' Memberships: Files accumulated as a result of an individual employee's membership in professional, occupational, service, or community organizations, associations or clubs, if they are paid for by the individual. If the institution pays, they are university records and subject to the retention schedule guidelines.

Duplicated records: Records which have been duplicated in another format, such as paper records that have been microfilmed, if the duplicate is retained as record copy and its accuracy has been verified. Duplicates include photographs, micrographs, and other reproduction forms on paper, film, or computer-readable format.

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Program and Function Change Assistance

Because universities are not static organizations, academic and administrative programs, units, and offices are occasionally eliminated, reassigned and relocated, or combined. Often this results in a large body of records that are no longer needed for continuing administration. However, some of these records will not be eligible for immediate destruction; some must be retained for later destruction and others transferred to the University Archives for permanent retention. Should your unit experience such changes, it is imperative that you contact the University Archives as soon as possible. The Archives will assist office personnel in identifying records and determining their retention periods, destroying records eligible for immediate destruction, boxing and locating storage space for non-permanent records, and transferring permanent records to the University Archives

OSU Forest Research Lab, ca. 1970. The lab was built in 1957 and used until 1999, when construction of Richardson Hall was completed. The University Archives staff spent many hours in the Spring of 1999 working with the records of the Forest Products Department in preparation for its move to Richardson Hall. *[OSU Archives P61-SG3:454.]*

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Disaster Preparedness, Response, and Recovery

Disasters, natural and human caused, are inevitable at an institution as large as Oregon State University. Office or unit disaster plans should include contingencies for protecting and salvaging records (particularly vital records) in the event of a disaster. The Archives staff can assist units in disaster planning and setting up a vital records program, so that a unit's most critical records will be safe and accessible in the event of a disaster.

The University Archives also offers disaster response services and recovery assistance to campus offices. The archives staff is trained to handle wet and fire-damaged paper records, books and magazines, photographs, microfilm, and magnetic tapes on a limited scale.

For additional information, see Oregon State Archives Bulletins 5.1, Introduction to Records Disaster Planning, and 5.2, Vital Records. Paper copies are also available from the University Archives.

University Archives staff recovering records at the Oregon State University Mink Research Center, June 1991. After this facility was vandalized and partially burned by members of a radical animal rights organization, University Archives staff assisted the Mink Research Center staff in the salvage and recovery of records damaged during the attack. *[OSU Archives P169, acc. 91:21.]*

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Chapter 4 Archives

Mission Statement and Access Policy

The University Archives is authorized to collect, describe, preserve, make accessible to the public, and display historical records created or received in connection with the transaction of University affairs.

The Archives' holdings are available to OSU students, faculty, staff, and the public for research under the following conditions:

- Patrons must use the records in the Archives, observing all instructions for the use of archival materials.

- Access to records restricted by law will be limited to individuals authorized by statute, by the depositing department, or by court order.

- Patrons must honor any restrictions placed by donors of private materials.

Other Archives Policies

- [Collection Policy and Donor Information](#)
- [Reference Room Rules](#)
- [Photograph Duplication and Use Policy](#)
- [Motion Picture Film and Videotape Duplication and Use Policy](#)
- [Digitized Reproduction Policy and Procedure](#)
- [Publications Policy](#)
- [Policy for Borrowing Materials](#)
- [Sound Recording Duplication & Use Policy](#)

E. E. Wilson at his desk, ca. 1905. Wilson, an 1889 OAC graduate and lifelong Corvallis resident, maintained a close relationship to Oregon State all of his life. He twice served on the OAC Board of Regents, from 1906 to 1915 and from 1925 to 1929. Wilson was treasurer of the Memorial Union Board of Governors from 1925 until his death in 1961. He practiced law in Corvallis from 1893 to 1925, served as a bank president, and was a member of the State Game Commission for 14 years.

Historical records pertaining to Wilson include the E. E. Wilson Papers, the E. E. Wilson Photographic Collection (P 101), the Board of Regents Records (RG 8), and the Memorial Union Records (RG 99). *[OSU Archives #805]*

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Historical Holdings

The University Archives' historical materials consist of permanent institutional records created by university departments and offices; photographs; collections of private papers created by Oregon State University faculty, alumni; or organizations; official university publications; memorabilia; motion picture films and videotapes; and oral histories.

Permanent Institutional Records

Permanent institutional records created by university departments, offices, committees, or organizations include (but are not limited to) correspondence, annual and biennial reports, final research and special reports, policy statements and procedure manuals, meeting minutes, architectural drawings, and celebration records. These materials document the development and functioning of Oregon State University since its establishment as a land-grant institution in 1868. They are organized into approximately 160 record groups by originating college, department, office, or organization.

Photographic Collections

Photographic collections include approximately 200,000 images made and/or assembled by university staff, commercial photographers, and individuals. They document campus buildings and development; instruction and research; faculty, staff, students, and alumni; Extension Service programs; and the state of Oregon. The Archives' photographs are organized into about 235 photograph groups by office of origin, donor, subject, or photographer.

Manuscript Collections

Manuscript collections are the personal papers of faculty, administrators, and alumni as well as

the records of student, faculty, and staff organizations; honorary societies; and professional organizations in extension, agriculture, and education. These collections include correspondence, speeches, manuscripts of publications and reprints, diaries, teaching materials, research files, photographs, scrapbooks, and sound recordings.

Publications

Almost all publications produced by the University and its offices, departments, and affiliated organizations are routinely acquired by the Archives. These include catalogs, newsletters, brochures, bulletins, students publications such as the Beaver yearbook and the Daily Barometer campus newspaper, directories, faculty and student handbooks, schedules of classes, OSU Press monographs and series, and selected Extension Service and Experiment Station publications. The Archives' holdings include about 500 groups of continuing and inactive publications.

Memorabilia Collection

Individual items of historical value such as programs, posters, brochures, clippings, buttons, pennants, stickers, and other ephemera comprise the Memorabilia Collection. It includes information about OSU buildings and campus development; academic departments and programs; research, extension, and outreach; faculty, staff, and alumni; students organizations; intercollegiate and intramural athletics; and other campus events, activities, and issues. It also includes limited information about Corvallis, Benton County, and the mid-Willamette Valley region.

Motion Picture Films and Videotapes

The Archives holdings include about 3,600 motion picture films, reels or videotapes of final productions and unedited footage of intercollegiate athletics, lectures, musical performances, and other special events at the University as well as final productions prepared by the Extension Service and the University's communications units.

Oral Histories

Transcripts and sound recordings of oral history interviews with faculty, alumni, and residents of Corvallis and Benton County document Oregon, OSU, and local history. The oral histories were made by OSU students, the former Horner Museum, and OSU faculty and staff.

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Transferring or Donating Materials to the Archives

All OSU offices and departments generate or have permanent records that at some point may be eligible for transfer to the University Archives. The Archives encourages transfer of inactive permanent records. These are records for which your office is the holder of the record copy and which have a permanent retention according to the General Records Retention Schedule. The most common permanent records include (but are not limited to):

- Administrative Reports (especially annual and biennial reports).

- Biographical Records.

- Committee Records.

- Correspondence, Executive.

- Grant Projects Research Records (final research reports).

- Photographs.

- Policies and Procedures Records.

- Publications.

Microbiology Department moving from Agriculture Hall, 1970. The department moved to new quarters in Nash Hall designed specifically for microbiological work. Because Agriculture Hall had no elevator, cranes were used to lift the moving vans to the building's upper floors, where

- Special Event Records.

equipment and supplies were loaded onto the vans. *[OSU Archives P3:4365.]*

In most cases, records should be transferred to the Archives when they are no longer used in the everyday operation of the office and are referred to less than once a year. Specific instructions for transferring certain records to the University Archives after a certain number of years are given in the General Records Retention Schedule. Offices are encouraged to transfer permanent records to the Archives yearly when filing systems for the new year (academic, fiscal, or calendar) are established.

Inactive permanent records should be transferred to the University Archives for the following reasons:

- The Archives can provide reference service and access to the records. Most permanent records are open to public inspection. If these materials are maintained in your office, you are required to make them available to those who request to see them (ORS 192.420). If they are transferred to the Archives, the Archives staff can provide reference service and access to the materials.

- Inactive permanent records can be moved from expensive office space to semi-active storage to less expensive storage provided by the Archives.

- The Archives provides environmentally stable and secure storage and reference areas, uses archival supplies to house materials, and monitors reference use of materials in order that they may be preserved for use by future generations.

When you have records to transfer to the University Archives, please contact the Archives staff. Staff members will discuss with you the type and amount of records to be transferred, arrange for physically moving the records from your office to the Archives, and complete an Archives Transmittal Form. The Transmittal Form is used to list the records series being transferred and and to transfer legal custody from the originating office to the Archives.

It may be appropriate for the Archives staff to visit your office to look at the records or arrangements for transfer may be made by telephone. Upon request, the Archives will provide boxes for the records to be transferred.

When boxing records, place the records and their original file folders in the boxes in the same order in which they were maintained in your filing system. Transfer the file folders to the Archives with the records. If you would like to keep the original folders for your filing system, please contact the Archives before you remove the records so that temporary folders can be provided. Contact the Archives staff to make arrangements for pick-up of materials to be transferred.

After records are received in the University Archives, they will be processed following professional archival standards and procedures. Every effort is made during processing to maintain the integrity of the records as a group, while at the same time making them useable to researchers and preserving them from long- and short-term

deterioration. The processing steps will include:

- Re-foldering and re-boxing the materials into acid-free archival folders and boxes.

- Placing photographs and other special format materials in proper archival enclosures.

- Removing non-permanent or duplicate materials.

- Arranging the materials.

- Describing the materials with a folder-level inventory and summary description which will be available in the Archives and on its web site.

The Archives also accepts additions to its collections from individuals and organizations, especially unpublished personal papers and organizational records such as correspondence, diaries, photographs, scrapbooks, and research files that complement official records created by OSU. Donation guidelines and forms for transferring legal custody are available from the Archives.

![Oregon State University Administrative Policies and Procedures](logo)

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Reference and Duplication Services

The holdings of the University Archives are open to faculty, staff, students, and the public for research. Reference assistance is provided by Archives staff to help determine the materials appropriate for specific research projects. Patrons are required to comply with reference rules designed to protect archival materials for future use. Phone, fax, mail, and e-mail queries are accepted.

The OSU Archives Reference Room is located in the Valley Library and is open Monday - Friday, 9:00 a.m. to 5:00 p.m.. An archivist is available at all times to assist researchers.

The University Archives provides a variety of reproduction services at cost, but reserves the right to restrict reproduction of materials due to condition, size, or donor requirements. Duplication options include photocopy; color photocopy; photographic reproduction; duplication of sound recordings, motion picture films, and videotapes; and digitized copies of photographs and documents; duplication services, duplication services price list.

Please see the following detailed policies:

- *Photograph Duplication and Use Policy*

- *Motion Picture Film and Videotape Duplication and Use Policy*

- *Sound Recording Duplication and Use Policy*

- *Digitized Reproduction Policy and Procedure*

Permission must be obtained from the University Archivist to publish or permanently display reproductions of Archives materials. Users are responsible for observing all U.S. Copyright regulations. *A Request for Permission to Publish or Use Reproductions of Materials from the OSU Archives* form may be obtained from the Archives.

Archival materials are normally used only in the University Archives. However, in extraordinary circumstances and with special permission from the University Archivist, university departments and other organizations may borrow duplicate materials for use outside the University Archives for a pre-determined period. The borrower must provide for the security of the materials against loss or damage while they are out of the Archives and is required to use the materials with the same care and consideration that is practiced in the Archives.

Researcher Request Form

Permission to Use Form
PDF version

Permission to Use Form (Commercial Use)
PDF version

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Chapter 5 University Records Retention and Disposition Schedule -- Common Series

The University Records Retention and Disposition Schedule — Common Series represents 94 of the most frequently used dispositions in the full records schedule of 426 records series dispositions. The full records schedule was approved as Oregon Administrative Rule 166-475 for use by the entire Oregon University system. It replaces the Oregon State University Records Retention and Disposition Schedule approved on March 31, 1993 and any additions made to that schedule between March 31, 1993 and November 1, 1999. The new schedule was updated Februry 14, 2003 and is effective until February 14, 2007.

The full schedule is available via the [University Archives Website](). Paper copies of the full schedule are also available from the University Archives ([Archives@oregonstate.edu](); 541/737-2165).

Understanding and Applying the University Records Schedule

Prescriptive Schedule
The OSU records retention schedule describes records that are found on the OSU campus and is prescriptive in that it tells how long records must be kept before they can be destroyed. It does not prescribe how offices or departments should or must keep their records.

Minimum - Maximum Rule
The retention periods listed in the University Records Retention and Disposition Schedule are both "minimum" and "maximum" retention periods as established in state administrative rules. Minimum and maximum retention periods mean that a record series must be kept as long as the retention period listed in the schedule, but no longer. It must be kept for the length of the retention period and then promptly disposed of as directed by the schedule.

Exceptions to the Minimum - Maximum Rule
There are exceptions to the minimum-maximum retention period rule. Records may be kept for a period of time exceeding the established retention period if they are involved in litigation, criminal or civil investigation, audit, or continuing administrative use. Under no circumstances, however, is a record to be kept for a shorter time period than the schedule requires.Format
Understanding the components of the schedule is essential to its quick and easy use. The following is a sample of a typical records disposition followed by descriptions of each of the components.

A   **(10) Awards Records**

B   [OAR 166-475-0010(10)]

C   This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: applications; nomination letters; eligibility terms and selection criteria; recommendations; transcripts; letters of award notification or denial; letters accepting or declining awards; summary lists of winners; biographies; demonstration of need documentation; press releases; award history and information on funding sources; and related documentation and correspondence.

D   **Record Copy:** Administering units

E   **Retention:** Permanent for eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases; 1 year for all other records

F   *Transfer the record copy of all permanent records to the University Archives after **3** years.*

G   **Other copies:** Receiving units

H   **Retention:** 1 year

I | *NOTE: Some duplicate fiscal records may be found in the OSU Foundation Office and Business Affairs. **CONFIDENTIAL DESTRUCTION:** Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the OSU **Archives and Records Management Handbook** for more information.* |

A   Title of the record series and number within the section of the Administrative Rule.

B   Administrative Rule number.

C   The series description generally consists of two components: a use or purpose statement and a content statement.

D   Indicates the holder of the official or record copy.

E   Designates the period of time that the record copy must be retained

F   Disposition statement for permanent records (where applicable).

G   Indicates the university office(s) or department(s) that may have other copies of the records series.

H   Designates the period of time that the other copy(ies) of a record series must be retained.

I   The Comments Box may contain notes or additional information about the record series relating to the retention period, the confidential information content and destruction of the record, or related records series.

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Chapter 5 University Records Retention and Disposition Schedule -- Common Series

Titles of Common Series

Academic and Unclassified Employees Personnel Records (Supervisor's Copy)

Academic Program Administrative Records

Accounts Payable Records

Accounts Receivable Records

Administrative Reports

Affirmative Action and Equal Opportunity Records

Agency Relations Records

Annual Fiscal Reports

Association and Organization Advisory Records

Awards Records

Biographical Records

Book Order Records

Budget Maintenance Records

Budget Planning, Projection, and Preparation Records

Cash Records

Charge Airfare Records

Class Lists

Classified Employees Personnel Records

Closing of the Books Records

Committee Records

Computer System Maintenance Records

Computer System Program Documentation Records

Contracts and Agreements Records

Correspondence, Administrative

Correspondence, Executive

Correspondence, Ephemeral

Grants and Contracts Accounting Records

Independent Study Records

Institutional Cooperation and Relations Records

Institutional Planning Records

Instructors' Grade Records

Internship Program Records

Key Issuance Records

Laboratory Notebooks

Lectures and Lecture Series Records

Miscellaneous Accounting Reports

New Degree Program and Course Proposal Records

Operating and General Ledger Reconciliation Records

Personal/Professional Services Contracts Records

Photographs

Policies and Procedures Records

Position Descriptions

Postal and Shipping Records

Professional Membership Records

Program Development and Review Records

Promotion, Tenure, and Salary Increase Records

Property Disposition Requests Records

Publications Records

Recruiting Pool Records

Registration Fee Records

Requisitions Records

Safety Training Records

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Definitions

Oregon State College President William Jasper Kerr at his desk, ca. 1930. Kerr served as president from 1907 to 1932, longer than anyone else in OSU's history. The records of Kerr's administration are part of the President's Office Records, Record Group (RG) 13. *[OSU Archives P1:16]*

Some definitions of the archives and records management terms used in this document have been adapted from *A Glossary For Archivists, Manuscript Curators and Records Managers* (Society of American Archivists, 1992) and the Oregon Administrative Rules, Chapter 166. Where appropriate, definitions have been made specific for their usage in the Oregon State University Archives and Records Management Program. Definitions in this list that have been taken either unchanged or substantially unchanged from these two sources have been annotated with either (SAA) or (OAR 166).

Access.
> The availability of or permission to use records.

Accession.
> 1. The formal acceptance into physical and legal custody of an addition to the holdings of the University Archives.
> 2. The formal acceptance into physical custody of records to the University Records Center. Records accessioned into the University Records Center still remain in the legal custody (ownership) of the creating and depositing office or organization.
> 3. An addition to the holdings of the Archives or University Records Center.

Accession number.

A unique number assigned sequentially to an accession for purposes of identification and control within the University Archives or University Records Center, e.g., 90:015.

Acid-free.

The chemical characteristic of having a pH of 7.0 or greater. The Archives uses acid- free paper, file folders, and boxes for preservation of permanent records. See alsoarchives box.

Active records.

Records that continue to be used by the creating administrative unit for the conduct of regular business and are maintained in active office files.

Administrative value.

The usefulness of records in conducting an agency's business. (OAR 166)

Appraisal.

The process of determining the value and thus the disposition of records based upon their current administrative, legal, and fiscal use; their evidential and informational (historical) value; their arrangement and condition; their intrinsic value; and their relationship to other records. (SAA)

Archives.

1. The records created or received and accumulated by an institution or organization in the course of routine business and retained due to their continuing or enduring value.
2. A building or area of a building used to house permanent records.
3. A government agency, organization, or program responsible for appraising, scheduling, accessioning, preserving, and providing reference service to archival materials.

Archives box.

A cardboard storage container made from acid-free materials intended to house archival materials. See also records storage box.

Arrangement.

The intellectual and physical processes and results of organizing documents in accordance with accepted archival principles, at as many as necessary of the following levels: collection, record group, subgroup, series, sub-series, file unit, and item. The processes usually include packing, labeling, and shelving and are primarily intended to achieve physical control over archival holdings. (SAA)

Audit copy.

A copy made specifically for use by auditors. This is not usually the record copy.

Bulk dates.

Dates of those documents that constitute the largest part of a collection, record group, subgroup, or series. Bulk dates are used to inform researchers of the chronological or period strength of archival materials, particularly when inclusive dates are misleading. (SAA)

Collection.

1. An artificial accumulation of documents brought together on the basis of some common characteristic (e. g. means of acquisition, creator, subject, language, medium, form, name of collector) without regard to the origin of the documents.
2. A grouping of records created by a private individual and organization. (SAA)

Computer assisted retrieval (CAR).
> The use of a computer created and maintained index to access documentary material recorded on other media such as microfilm.

Computer output microform (COM).
> Microforms containing data converted and recorded directly from a computer without an intervening paper stage.

Confidential destruction.
> Destruction of paper or microform documents by shredding, pulping, or incineration.

Confidential information.
> Information of a private nature that is protected by law from public disclosure. See also exempt from public disclosure.

Container list.
> A listing of materials by container, meant to facilitate retrieval. A container list normally includes the title of the series or file, the portion of the file contained in each container, and the inclusive dates of the materials contained therein. A container list may also include shelf locations for each container. See also folder list. (SAA)

Convenience copy.
> Copy or copies of a document or file created and maintained for ease of access and reference. A convenience copy is never a record copy, although it may be an audit copy. Convenience copies are frequently encountered in reader files.

Copy.
> Duplicate of the contents of an original document or record created at the same time as the original (carbon copy) or subsequent to the origination of the original (photocopy). See also convenience copy and record copy.

Copyright.
> The guaranteed legal right of the creator or originator (and heirs or assignees) of a written work or creative work to publish or duplicate the work or conditionally allow others to publish or duplicate it.

Correspondence.
> Any form of written communication sent or received in the course of affairs, including letters, postcards, memoranda, notes, electronic mail, facsimiles, telegrams, or cables.

Creator.
> The person, administrative unit, or organization that originates, receives, or assembles records in the course of normal business. See also office of origin.

Cubic feet.
> A volume measurement for records. One cubic foot is a volume one foot high, one foot wide, and one foot deep. An archives or records storage box is the equivalent of one cubic foot. Fifteen linear inches of letter-size files will fill an archives or records storage box.

Data element.
> The smallest and simplest unit of data that imparts meaningful information, generally corresponding to a

field in a database file or a blank on a paper or electronic form. For example, name, address, work title, Social Security number, PERS number, record series title, and record group number all represent data elements.

Database.

Integrated data files organized and stored electronically in a uniform file structure that allows data elements to be manipulated, correlated, or extracted to satisfy diverse analytical and reporting needs. A database file is managed independently of the software necessary to perform the manipulations.

Description.

1. The process of analyzing, organizing, and recording information that serves to identify, manage, locate, and explain the holdings of the Archives and the contexts and records systems from which those holdings were selected.
2. The written representations or products of the above process.
3. In records management, a written account of the physical characteristics, informational content, and functional purpose of a record series or system. (SAA)

Destruction date.

The date which marks the end of the legally required retention period for non- permanent records and the time when records should be destroyed unless the records are involved with or relevant to audit, litigation, or continuing administrative action.

Diazo film.

A microfilm duplicating or copy film widely used for its durability and economy. Diazo film copies from camera film (silver halide) when contact printed use ultraviolet light and are developed in the presence of gaseous ammonia.

Digital image.

An image composed of discrete pixels of digitally quantized brightness and color. (ANSI-AIIM TR-2 1998)

Digital imaging system.

A system (including people, machines, methods of organization, and procedures) which provides input, storage, processing, communications, output, and control functions for digitized representations of original public records. (OAR 166)

Disaster plan.

The documented policies and procedures intended to either prevent damage, minimize damage, or recover from damage to record materials.

Disposition.

The actions taken regarding records which are no longer needed to support on- going administrative activities in accordance with the University Records Retention and Disposition Schedule. Directions may include destroy, transfer to the University Records Center, transfer to the University Archives, transfer to inactive records storage space, or retain permanently in unit.

Document.

See record.

Documentation.

1. In archival usage, the creation or acquisition of documents to provide evidence of the creator, an event,

or an activity.

2. In electronic records, an organized series of descriptive documents explaining the operating system and software necessary to use and maintain a file as well as the arrangement, content, and coding of the data which it contains. (SAA)

Electronic mail (e-mail).

Any communication that requires an electronic device for storage and/or transmission. E-mail often refers to a package of services designed to automate office communications.

Electronic records.

Records created by means of a computing device and subsequently stored on an electronic storage media and only retrievable through electronic means. For purposes of this definition, "electronic records" does not include or refer to photocopies, digital imaging systems, or analog or digital audio and video tapes.

Ephemera.

Documents created specifically for a transitory purpose. Advertisements, calling cards, notices, and tickets are examples of ephemera. (SAA)

Essential records.

See vital records.

Exempt from public disclosure.

Records that are not open to public examination because they contain information which, if disclosed, might damage individual privacy or compromise public activities.

Exemptions (conditional and unconditional).

The specific reasons for exempting certain records or information from public disclosure. Conditional exemptions are those that require the records custodian to weigh the public's right to know against an individual's privacy rights. Unconditional exemptions derive from specific statutory instructions that forbid the records custodian to release or disclose specific records or information to the public.

FERPA.

The Family Educational Rights and Privacy Act of 1974, commonly referred to as the Buckley Amendment, protects the rights of students by controlling the creation, maintenance, and access to educational records. It guarantees students' access to their academic records while prohibiting unauthorized access by others.

FTP.

The File Transfer Protocol is an application program which moves files between computers connected to the Internet independent of machine type or operating systems.

File breaking.

Breaking or ending files at regular intervals, usually at the end of a year or other duration, to permit their destruction, transfer to archives, or transfer to inactive storage areas in complete blocks. Regular breaking of files permits the establishment of new files and records series sequences within existing file space.

File integrity.

The principle that completeness, original file order, and unbroken custody of the records in a filing system must be maintained for a record series to maintain legal and intellectual integrity.

File maintenance.

> The application of records management principles and techniques to filing practices in order to maintain records properly, retrieve them with efficiency, ensure their integrity, and make their regular disposition more practical.

Files.

> A term used to describe some or all records and non-record materials of an office or department.

Filing system.

> A set of policies, procedures, and methods used for organizing and identifying files or records to increase their speed of retrieval, use, and disposition.

Finding aid.

> The descriptive tool, published or unpublished, manual or electronic, produced by the Archives to establish physical and/or intellectual control over records and/or archival materials. Basic finding aids include local, regional, or national descriptive databases; guides, inventories; shelf and container lists; and indices. (SAA)

Fiscal year.

> An accounting period of twelve months. The fiscal year for Oregon state agencies spans from 1 July through 30 June of the next calendar year. The federal government fiscal year extends from 1 October through 30 September of the following calendar year.

Fiscal value.

> The usefulness of records in documenting an agency's fiscal transactions and obligations. (OAR 166)

Flat file.

> An electronic record that is stripped of all specific application (program) formats. This allows the data elements to be migrated into other applications for manipulation. This mode of stripping electronic data prevents data loss due to hardware and proprietary software obsolescence.

FOIA.

> The Freedom of Information Act of 1966 protects the rights of the public to information and makes provisions for individuals to obtain information on the operation of federal agencies.

Folder list.

> A list prepared by the creator or the Archives detailing the titles of folders contained in one or more records center cartons or archives boxes/containers. See also container list. (SAA)

Inactive records.

> Records no longer required by their creating unit or other units to carry on current business and therefore ready for final disposition in accordance with the University Records Retention and Disposition Schedule. See also retired records.

Inclusive dates.

> The earliest and latest dates of record materials being described. These dates are usually the date a record was created or the date a form was completed. See also bulk dates.

Instrument of donation.

> A contract transferring title to personal property without recompense; also known as deed of gift. This signed instrument establishes and sets down conditions governing the transfer of title to documents and

specifies any restrictions on access or use.

Internet.

lobal, decentralized communications network connecting millions of computers, providing exchange of data, news and opinions. (International Standards Organization)

Inventory.

1. A basic archival finding aid whose unit of entry is usually the series. An inventory generally includes a brief administrative history of the organization(s) whose records are being described as well as descriptions of the records. Series descriptions give as a minimum such data as title, inclusive dates, quantity, arrangement, relationships to other series, and scope and content notes. Inventories may also contain appendices that provide such supplementary information as container lists, folder lists, a glossary of abbreviations and special terms, lists of file units on special subjects, indices, and classification plans/ schemes.

2. In records management, a detailed listing of the contents, function, volume, scope, and complexity of an organization's records, usually compiled for the purpose of creating a records schedule. (SAA)

Lateral file.

Filing equipment that stores file folders in a side-to-side orientation rather than in a front-to-back manner like a vertical file. Some lateral filing units have a mechanism which permits the file containing section to be pulled out of the cabinet for top-tab filing, others that do not have this mechanism require side-tab filing, much like shelf-file units. See also vertical file and shelf file.

Legal value.

The usefulness of records in documenting legally enforceable rights or obligations, both those of the state and those of person's directly affected by an agency's actions. (OAR 166)

The concept that records pass through several life-like phases: creation (birth), maintenance and use (life), and disposition (retirement and death).

Local area network (LAN).

Two or more personal computers or workstations, usually in a common office area, physically linked together by a common file server.

Manuscripts.

Individual documents or groups of records having historical value or significance that are not "official records" of university departments or offices. These include personal papers (written or typewritten), individual documents of special importance, collections of documents, and the records of non-university organizations.

Memorabilia.

Individual items of historical value such as programs, posters, brochures, clippings, buttons, pennants, and stickers. See also ephemera.

Microfiche.

Miniaturized photographic document images arranged in horizontal rows and vertical columns that form a grid pattern on a card-size transparent film sheet. Fiche usually have a title readable without a magnifying device. It is an inexpensive format for published materials large as reports.

Microfilm.

A fine grain, high resolution photographic film used specifically for the capture of document images.

Microfilm is manufactured primarily in either 16 mm or 35 mm widths and in 100- or 215- foot long rolls. While all camera microfilm has a silver halide photosensitive emulsion layer and this type of film is also used for the production of working duplicates, several highly economical duplication films exist such as diazo film (organic dyes) and vesicular film (bubbles).

Microfilm jacket.

A transparent plastic holder approximately the size of microfiche (105 mm x 148 mm) into which individual strips of microfilm are inserted.

Microform.

Any of a number of generic products and processes containing greatly reduced microimages which requires magnification to read. Microforms include microfilm roll film, microfiche, microfilm jackets, microcards, and COM.

Misfile.

1. To place a record under the wrong file designation or in a wrong file sequence or position.
2. A record filed under an incorrect file designation or in improper sequence or position.

Nonpermanent records.

Records which have either limited value or are valuable for short periods of time and will ultimately be destroyed.

Non-record materials.

Documentary materials that under Oregon law are excluded from the legal definition of public records. In Oregon these include library or museum materials intended solely for reference or exhibition; other copies; sample letters or forms; reproduction masters; and excess stock of publications or forms.

OAR.

Oregon Administrative Rules. OSU operates under the Oregon Administrative Rules authorized by the Oregon State Board of Higher Education.

Office of origin.

The university administrative unit within which records are created or received and accumulated in the course of its principal activity. See also creator.

Office of record.

The university administrative unit, which may or may not be the office of origin, that maintains the record copy of a document for the institution.

Oral history.

The audio recording or transcript which results from planned oral interviews with individuals. These created and preserved interviews are intended for use by researchers and historians.

ORS.

The Oregon Revised Statutes. Statutes passed by the Oregon State Legislature and signed by the Governor.

Permanent.

When specified as a records schedule retention period, records which must be kept indefinitely or for at least 100 years for legal, administrative, and research purposes (OAR 166)

Personal papers.

Records of a nonofficial or private nature that relate to an individual's affairs or to the collecting activity of an individual. Papers or collections from individuals are subject to the person's disposition and access instructions.

Photocopy.

A copy produced on or by means of sensitized materials by the action of light or other radiant energy with or without intermediate negative. (SAA)

Preservation.

The totality of processes and operations involved in the stabilization and protection of documents against damage or deterioration and in the treatment of damaged or deteriorated documents. Preservation may also include the transfer of information to another medium, such as microfilm. (SAA)

Primary value.

The value of records that results from their informational content. Records possessing primary value are necessary for the continuation of the affairs of their originating administrative unit. See also secondary value.

Privacy.

The right of an individual to be secure from unauthorized disclosure of information about oneself that is contained in documents. (SAA)

Processing.

The activities performed by archivists when materials are transferred to the legal custody of the University Archives. Among the individual tasks of processing are: accessioning, arranging, describing, and properly storing archival materials. See alsoaccession, arrangement, description, preservation, and weeding.

Public records.

Public records are created or received and accumulated by university administrative units in the course of university business. Public records may or not be open to public inspection. A public record is not necessarily synonymous with an open record.

Publications.

Documents created and reproduced for distribution and dissemination (e.g. directories, newsletters, and catalogs.)

Pulping.

The destruction of paper records by dissolving them in a liquid reagent. The product of pulping, a raw paper fiber slurry, is recycled into new paper based products.

Reader file.

A file containing copies of documents assembled for reference use only, not for documentation of activities. If arranged chronologically, the file may be called a chronological file. See also convenience copy.

Record.

A document, regardless of physical form or characteristics, created or received and accumulated by an administrative unit or officer of the university in the conduct of official business.

Record copy.

The single official copy of a document maintained on file by an administrative unit of the University. A

record copy is sometimes termed the file copy. The record copy is usually, but not always, the original. A record copy may be held by the creating office or another office of record.

Record group.

A body of related university records that are organizationally grouped together due to their common unit of origin. As examples, the University Archives groups all records of the President's Office into Record Group (RG) 13 and all records of the University Library into Record Group (RG) 9.

Record series.

File units or documents arranged in accordance with a filing system or maintained as a unit because they result from the same accumulation or filing process, the same function, or the same activity; have a particular form; or because of some other relationship arising out of their creation, receipt, or use. (SAA)

Records center.

A storage space or facility for the high-density and low-cost storage and maintenance of semi-active or inactive records pending their scheduled final disposition.

Records center transmittal form.

A document that lists the records being transferred from an office or administrative unit to the University Records Center.

Records management.

A field of management responsible for the systematic control of the creation, maintenance, use, reproduction, and disposition of records. (SAA)

Records management officer.

A records management officer (RMO) is a department or unit's liaison with the OSU Archives and Records Management Program. It is usually the person who has primary responsibility for that department or unit's records.

Records officer, agency.

A university employee who is legally responsible for coordinating the OSU Archives and Records Management Program with the State Archives Division of the Secretary of State's Office. The University Archivist serves as the University's Records Officer for OSU.

Records retention schedule.

A control document which describes the records of an institution or administrative unit at the record series level, establishes a timetable for the record series life cycle, prescribes an ultimate disposition for the record series, and serves as the legal authorization for the disposition of public records. Selected series dispositions from the University Records Retention and Disposition Schedule are found in Chapter five of this handbook.

Records storage box.

A cardboard carton designed to hold approximately one cubic foot of records and to fit on specially configured industrial metal shelving. Records storage boxes are constructed of inexpensive, non-archival materials and are thus used primarily for the storage of temporary records in the University Records Center. These boxes are also used to transfer records to the University Archives for pulping and are also referred to as pulping boxes. See also archives box.

Records system.

An organized collection of data captured, processed, maintained, transmitted, or disseminated in accordance with defined procedures (automated or manual). (OAR 166)

Redox (reduction oxidation).

The undesirable chemical process by which metallic silver which makes up photographic images is transformed into spots of reddish-brown residue on the images.

Reference copy.

See convenience copy.

Reference service.

The assistance provided by the archives staff in helping researchers use the holdings of the University Archives.

Restricted access.

A limitation on the use of a body of documents or of single items containing information of a specific kind or in a particular form. The restriction may limit the use for a time to particular persons or classes of persons or may exclude all potential users. Restrictions may be imposed by law, by Archives or manuscript repositories having custody of the materials, or by officials of controlling agencies or donors and are enforced by the archives or manuscript repository. (SAA)

Retention period.

The maximum and the minimum length of time that a record must be kept by law. The retention period is given in the university records retention schedule. The retention period may be given as permanent, until superseded, until obsolete, or a certain number of years or months. See also permanent, until obsolete, and until superseded.

Retired records.

Inactive records that have been removed from active office files to less expensive and slightly less accessible storage space.

Retrieval.

The activity of finding and making available records or record information to the creating administrative units or other researchers. Retrieval is a part of the reference service provided by the staff of the University Archives.

Schedule number.

The Oregon Administrative Rule number assigned to each series in the records retention schedule, e.g., OAR 166-475-0010(3).

Scheduling.

The process of inventorying, analyzing, and developing a records retention and disposition schedule which contains series descriptions, retention periods, and disposition instructions. See also inventory.

Secondary value.

The value of documents to serve as evidence or sources of information for persons and organizations other than their creator. See also primary value. (SAA)

Security copy.

A duplicate of records made in order to preserve their informational content in the event that the original

records are destroyed, lost, or rendered illegible. Security copies are sometimes made on the same media: electronic records may be duplicated on magnetic tape or disks; or on different media: paper records may be duplicated on microfilm. Security copies are preferably stored in a location other than that of the original.

Semi-active records.

Records that are infrequently needed by their creating unit for the prosecution of official on-going business.

Series.

See record series.

Shelf files.

Filing units that resemble book shelves and accommodate rows of files with the folder tabs facing outward for ease in reading. Shelf files are simple structures generally having no doors.

Shredding.

A means of destroying paper records by mechanical cutting into a multitude of narrow strips.

Silver halide film.

Camera film used for microfilming. The silver halide salts form the photosensitive material and image matter of the microfilm. Only silver halide film can be used in a camera for producing a microfilm original.

Supersede.

See until superseded.

Temporary records.

See nonpermanent records.

Transcript.

1. A copy or reproduction, in so far as the resources of script and/or typography allow, of an original document.
2. In legal proceedings, an exact copy of a text.
3. A verbatim written, typed, or printed version of the spoken word, e.g. proceedings in a court of law or an oral history interview. (SAA)
4. The official copy of a student's educational record.

Transfer.

1. The change of physical and legal custody of records from the creating administrative unit to the University Archives.
2. The change of physical custody of records without the corresponding change in legal custody from the creating administrative unit to the University Records Center.

Transmittal form.

A University Archives form that accompanies records transferred from the creating administrative unit to the University Archives. The transmittal form lists in detail the records being transferred. The Archives Transmittal Form transfers legal custody as well as physical custody. See also records center transmittal form.

Until obsolete.

Retention period assigned to records that become valueless on a non-routine basis.

Until superseded.

> Retention period assigned to records that are routinely updated or revised and where the previous version has no continuing value.

Vertical file.

> Filing units composed of drawers stacked vertically. These units store records from front to back rather than from side to side. See also [lateral file](#).

Vital record.

> A record containing information essential to re-establish or continue an organization in the event of a disaster. Vital records comprise the records necessary to recreate the organization's legal and financial status and to determine the rights and obligations of employees, customers, stockholders, and citizens. (SAA)
> Voice mail. A computerized telephone message recording system.

Weeding.

> The selection and removal of individual documents, records, or files from a record series due to their failure to possess continuing primary or secondary value. Weeding is also known as purging.

World Wide Web (WWW).

> A client-server software package which uses hypertext to organize, connect, and present information and services throughout the Internet. A hypertext-based system for finding and accessing Internet resources.

Oregon State University
Administrative Policies and Procedures

Archives & Records Management Handbook

OSU Record Technical Bulletins

Technical Bulletin: Selecting the Best Filing System

Grateful acknowledgement to the Local Records Division of the Texas State Library which published an earlier version of this article as a series in *The Local Record* in the summer of 1990.

Records management in a university has one main goal: the systematic control of records from creation to ultimate disposition. A key element in achieving this goal is the establishment of efficient and effective procedures for filing and retrieving records.

There is no one best filing system for every situation. This overview is meant to offer suggestions and recommendations for the selection, implementation, and maintenance of different types of filing systems. Each university office must determine the most appropriate methods of filing paper records and arranging records in other formats such as microfilm, audio-visual material, and electronic media. Because paper is the most common medium for the recording of information, this article will be concerned with hard copy filing systems.

Filing Schemes

The selection of an appropriate filing system requires knowledge of the information needs of your office. There are three basic filing systems or schemes:

. ALPHABETICAL: Using letters of names, subjects, or geographic locations.

. NUMERICAL: Using digits in various combinations, including dates in a chronological system.

. ALPHANUMERICAL: Using a combination of letters and numbers.

Within these three systems you may choose any number of modifications and variations to suit your office.

Because each system has distinct advantages and disadvantages, the first step in selecting an appropriate system is to look carefully at the record keeping practices of your office. There are four main characteristics to examine:

. HOW RECORDS ARE USED OR REFERENCED. The nature of the records and how they will be requested should be the first determining factor in your selection of a system. For example, if vendor files are referenced by name, alphabetical

arrangement is indicated; invoices called for by number will best be filed in a numerical system; and correspondence, if retrieved by subjects, should be filed alphabetically by subject.

. HOW MANY RECORDS ARE MAINTAINED. In an office that maintains a small volume of records and few record series, alphabetical systems are usually adequate. In an office where more records are maintained and the filing system may need to be more expandable, the better choice may be a numerical or alphanumerical system.

. SIZE OF THE OFFICE. The size of your office usually dictates the number of individuals responsible for the filing of records, as well as those who are authorized to have access to the files. Usually, although there are exceptions, the larger the office, the greater the number of the people who will process and use the records.

. WHO USES THE RECORDS. The system you select should be appropriate to the people using the records. A subject classification system may be more useful for records that are best defined by specialized topics, whereas records which fall into easily identified groups and which are accessed by many employees are better arranged by number.

Access Systems

Another consideration in selecting the filing system most appropriate for your office is the access system. There are two types: direct access and indirect access.

A direct access system allows a person to locate a particular record by going directly to the files and looking under the name of the record. Alphabetical systems are generally designed to be direct access systems.

An indirect access system is one in which an index or authority file must first be consulted to determine the special code assigned to a record. Numerical and alphanumerical filing systems and alphabetical subject systems are often indirect access systems. You must decide which access method is best suited to your office or department. When making your decision, there are features of each which should be considered.

Features of a Direct Access System

1. Records can be located by going directly to the files. 2. Since there is no index listing to update or consult, time is saved in both filing and retrieving records. 3. File guides that show names frequently used can speed up the filing and retrieval processes. 4. The system is cumbersome to use when storing a large volume of records. 5. Frequent confusion and

congestion can occur when dealing with files that contain common, similar, or identical names. 6. Duplication of records is a common problem; there is no index to show that a file for a particular name already exists under another heading. Features of an Indirect Access System

1. Use of an index is required to obtain the code assigned to a record; the index must be consulted before a record can be located.

2. Security is provided for all records in the files. Individuals without access to the coding system cannot gain access to specific records.

3. The system is most efficient when sorting a large volume of records.

4. Duplication of records can be avoided because each code is used only once.

5. Greater accuracy in filing and retrieving is generally provided.

6. Several different sets of files and indexes are necessary to maintain control.

7. Misfiled records can be difficult to locate.

8. Considerable time is often needed to train new staff in the use of the system.

System Evaluation

Here are some questions to ask about any system you are considering. These same questions can also be used to evaluate an existing filing system.

. Is the system logical? Logic speeds learning, so staff members do not have to rely on memory alone. The method behind the system should be clear and should follow a definable line of reasoning.

. Is the system practical? Does it do what you want it to do? The system should not be so sophisticated or complex that it fails to serve the purpose for which it was designed.

. Is the system simple? Simple here means easy to learn. The

system should be as straightforward as possible, with little (or preferably no) room for interpretation.

. Is the system functional? Does it relate to the function of the records it addresses? As mentioned earlier in the selection characteristics, an alphabetical system would not be suited to records searched by number, and numerical system would be inappropriate for records requested by name alone.

. Is the system retention-conscious? Your filing system should be linked to your records control schedule in a way that allows you to remove records from active to inactive storage, and to remove those with expired retention periods. These activities should be done according to the university records retention schedule.

. Is the system flexible? You should be able to expand it when needed. Additional or different classifications might be needed in the future. Your office may experience unforeseen growth, so your filing system should be able to accommodate growth as well.

. Is the system standardized? The terms used in the general classification plan should be standardized, because using different terms to describe the same record or subject will cause confusion. Also, there should be a written set of rules that all filing personnel follow to avoid lost files, misfiles, and unplanned duplication of records and filing locations. For instance, one person should not file correspondence under the name of the sender if your office rule is to file under the topic of the document.

Editor's Note: In the next issue of *The OSU Record*, we will examine in greater detail alphabetical, numerical, and alphanumerical filing systems.

Technical Bulletin: Filing Systems, Part I

Grateful acknowledgement to the Local Records Division of the Texas State Library and Archives which published an earlier version of this article in *The Local Record*, Spring 1991.

In the previous article in this series we discussed the selection of a filing scheme from the three basic systems: alphabetical, numerical, and alphanumerical, as well as the two types of access systems, direct and indirect. This article will give details on how to employ alphabetical subject and geographic filing.

The most basic filing system is filing by proper names. At one time, proper name alphabetic systems, without any additional levels of organization, were commonplace in both business and government offices. But stand-alone proper name systems do not afford record keepers the flexibility needed to create systems that are rich in quickly retrievable information.

Subject Filing

The first variation in proper name approach, one that is still basic to most modern filing systems, is alphabetic filing by subject, which is the arrangement of records by topics or categories rather than by personal or business names. The two methods of subject filing are known as the dictionary system and the encyclopedia system.

A DICTIONARY SYSTEM is one in which records are arranged in alphabetic sequence similar to the way words are listed in a dictionary, with no grouping of related topics. This system is most often applied to a small volume of records, in which no single topic is large enough to need subdividing.

An ENCYCLOPEDIA SYSTEM is one in which records are arranged under major topic names or geographic locations, then according to related subheadings. When a larger volume of records must be stored by subject, the encyclopedia system is the better choice. In addition to having records filed under major topics, you can create more specific subheadings of related subjects for each of the major headings.

A subject filing classification system requires the use of a relative index. The "relative index" is a list, in alphabetic order, of all the file folder headings that are used in the system. Use of the index significantly reduces the chance of a record being incorrectly indexed or filed. Before a document can be coded and filed, the person filing must refer to the relative index to find out under which topic the document belongs.

Those who are involved in filing must inspect the record carefully to determine the most appropriate topic (called the "primary heading" and the subtopic, if any called the

"secondary heading." A subtopic, if any, is called the "tertiary" or "final heading." Additional subtopics are not recommended, but they may occasionally be necessary in highly complex systems.

Because the subject filing system is an indirect access system, a person cannot file or retrieve a record by going directly to the files and looking under a correspondent's name. But once users of files become thoroughly familiar with the topics and subtopics used, filing is not significantly slower than proper name filing.

The ability to retrieve all files related to the same subject from one location makes the system far superior to basic proper name filing. For example, consider three documents relating to a proposed Vietnam War memorial in Anderson Park. One is a letter from the Veterans of Foreign Wars pledging support for the project, the second is a letter and a resolution from the American Legion also pledging support, and the third is a letter and cost estimate from the Oregon Bronze Casting Company. In a standard proper name filing system, the three items would be filed in three locations. The American Legion and Veterans of Foreign Wars letters might even be filed alphabetically in the same folders as other letters from these organizations concerning previous events or projects. In a subject filing system, all three items would be filed in a folder labelled Vietnam War Memorial (tertiary heading), a subtopic of Anderson Park (secondary heading represented by a file guide), which in turn is a subtopic of Parks and Recreation (primary heading represented by a file guide).

To create a relative index for subject files, arrange the topic names or categories in alphabetic sequence. Each topic is indexed as written, with each important word considered a separate indexing unit. A systematic procedure should be followed in coding records for filing; this is true in any filing system. A standard location, most commonly the upper right hand corner, should be specified for marking and coding. The coding should include the primary heading; the secondary and the tertiary headings, if any; and cross-referencing information. Cross-references should be added to the relative index.

The following approach should be used in coding documents for subject filing:

. Read the document.

. Check for enclosures and attachments.

. Check for references to previous correspondence.

. Determine the subject of primary importance.

. Underline keywords or phrases of primary importance.

. Select the broad subject classification.

. Determine if it pertains to a general area or a specific file.

. Select the primary heading within the classification group.

. Select the appropriate secondary and tertiary headings, if needed.

. Write the file heading in the right hand corner of the document.

. Cross-reference material that pertains to two or more subjects.

Geographic Filing

Geographic filing involves arranging records alphabetically according to the names of geographic locations. As in a subject filing system, records in a geographic system can be classified either in a dictionary or an encyclopedia arrangement. The number of geographic divisions used is based on the volume of records, the size of the geographic boundaries, and the number of subdivisions required.

An agency that operates throughout the state may divide its files first by county, then by city or town, and then by the names of individuals or the number of designations of field offices. An agency with several offices within a single city may require a geographic system that is divided by districts of the city, and then by street names. Municipal public works departments often arrange some records series geographically by street names and block numbers.

Within each geographic file, records can be arranged alphabetically by name or chronologically by date of receipt or action. To index and code geographic files, use the primary geographic name as the basis for filing records in alphabetical sequence.

Numeric Filing

Numeric filing is, like subject filing, an indirect access system that relies on the use of code numbers assigned to businesses, names of individuals, or subjects. It is an indirect access system because an index to the files must be used to retrieve information. Once the code number has been determined from the index, the person filing can file or retrieve records easily.

Alphanumeric Filing

In numeric filing systems, with their external relative indexes, only numbers need appear on folder labels. In many government offices and businesses, captionless folders are the norm, especially if the records filed are sensitive in nature. But users of files unfamiliar

with filing procedures often have difficulty working with files (particularly a stack of files) whose labels bear numbers alone. Consequently, alphanumeric systems, using a combination of personal or business names and numbers, or, more commonly, subject headings and numbers, enjoy great popularity among records users. The use of numbers, sequentially filed, reduces the number of misfiles dramatically; captions help the user to quickly determine the subject of the contents of the file.

Editor's Note: numeric and alphanumeric filing systems will be covered in greater detail with examples in *The OSU Record*, Winter 1992 issue.

Technical Bulletin: Filing Systems, Part II

Grateful acknowledgement to the Local Records Division of the Texas State Library and Archives which published an earlier version of this article in *The Local Record*, Spring 1991.

This article is a continuation of the discussion about Numeric Filing Systems begun in the Technical Bulletin distributed in the Fall, 1991 issue of *The OSU Record*. The discussion focuses on systems of filing which use unique number assignments to identify each file. These systems are most useful for organizing large quantities of records.

Numeric Filing

Numeric filing is, like subject filing, an indirect access system that relies on the use of code numbers assigned to businesses, names of individuals, or subjects. It is an indirect access system because an index to the files must be used to retrieve information. Once the code number has been determined from the index, the file user can file or retrieve records easily.

Numeric filing systems include the straight-numeric, terminal-digit, middle-digit, duplex-numeric, and decimal-numeric filing systems.

STRAIGHT- or CONSECUTIVE-NUMERIC FILING is a system in which files are arranged consecutively in ascending numeric order. The numbers may be those assigned to files or persons associated with them (e.g. patients in a hospital) or numbers that appear on the documents themselves, such as check or purchase order numbers. The system becomes cumbersome when long numbers (e.g. 7123490) are used. A numeric system in which dates are used for indexing purposes (e.g. 891206 to indicated December 12, 1989) results in numbers that are too long to be handled easily in a straight-numeric system. To overcome the problems of long numbers, two systems - the terminal-digit numeric and the middle-digit numeric - were developed. An example of the straight-numeric filing system is the one used by the Oregon State University Registrar's Office to organize student records. The numbers range from one to six digits. The index is in the form of a large card file, which includes cross references.

The TERMINAL-DIGIT NUMERIC SYSTEM is considered by many to be the most efficient of the numeric filing systems. In this system, the last digit or group of digits is the primary unit used for filing. For example, the number 7123490 could be broken down as follows: 71-234- 90, with 90 as the primary unit for filing, 234 as the secondary unit, and 71 as the tertiary unit.

The record could be filed in the following arrangement:

    Drawer number: 90
    Guide number: 234
    Folder number: 71

The terminal-digit system can accommodate large volumes of records, because long numbers can be divided into groups of several digits and still be easily managed. How numbers are broken down (e.g. how many digits will be included each group) depends on the current and projected capacity of the filing system.

The MIDDLE-DIGIT NUMERIC SYSTEM is similar to terminal-digit, but is often more limited. Although the file numbers in the index are still listed in consecutive numeric sequence, the middle group of digits becomes the primary indexing unit, the first group is the secondary indexing unit, and the terminal the tertiary unit. In some systems using the middle group as the primary indexing unit, the terminal group is the secondary indexing unit, so the first group is the tertiary, or last, indexing unit.

In the first form of the middle-digit system, the file example 71-234- 90 could be filed in the following arrangement:

    Drawer number: 234
    Guide number: 71
    Folder number: 90

Terminal- and middle- digit systems share common advantages over straight-numeric systems. They allow equal distribution of records throughout the records storage area; they permit assignment of different file clerks to different sections of the files; and, since only numbers usually appear on the files, they provide a measure of security over records from those persons who do not have access to the index or who are unfamiliar with the system.

A DUPLEX-NUMERIC SYSTEM uses two or more sets of code numbers for records, with the sets separated by dashes, commas, periods, or spaces. Records are filed consecutively by the first number, then sequentially by the second number, and so on. The duplex-numeric system lends itself to the subject and geographic systems that use the encyclopedia arrangement,with subdivisions for each major category. [See the discussion of geographic filing in the Technical Bulletin distributed with the Fall 1991 issue of *The OSU Record*.]

The duplex-numeric system follows this example:

  Taxation Division   12
    Taxation Committee   12-10
      Federal   12-10-1
      State   12-10-2

Finance publications   12-11
Employee guide   12-11-1
Retirement Plan   12-11-2

Indexing and coding in a duplex-numeric system is similar to the requirements of an alphabetic subject filing system in that a relative index must be developed if the system is to be used effectively. The index must list the primary numbers assigned to major categories of information, with appropriate listings of the various subdivisions within the major headings.

The DECIMAL-NUMERIC SYSTEM is perhaps the most commonly used and widely known numeric filing system. Developed initially for library use, the decimal system is based on ten general categories (e.g., 500 Pure Science). The major numeric groupings are each further divided into ten parts (e.g., 540 Chemistry), which are then subdivided into ten subunits (e.g., 540.1 Philosophy and Theory). The basic procedures of the Dewey decimal system can easily be expanded and adapted to most records holdings. For example:

500 Agency Studies
   510 Committee Assignments
      510.1 Environmental impact
         510.11 Freeway construction
      510.2 Internal Automation

Note that we are concerned in this system with decimals, not periods. Thus, the 510.11 Freeway Construction folder above, is filed before the 510.2 Internal Automation Folder.

The most effective application of the system is in situations in which records are classified by subject or by geographic location. Like the other numeric systems, use of the decimal-numeric system requires a relative index, which lists the number codes assigned to each record category and its subdivisions.

Editor's Note: Further information on filing systems will be published in future issues of *The OSU Record*. Meantime, if you have questions or would like to read other articles on the subject, please contact Acting University Archivist Larry Landis, 7-0540.

Technical Bulletin: Avoiding Unnecessary Filing, Part I

Grateful acknowledgement to the Local Records Division of the Texas State Library and Archives which published an earlier version of this article in *The Local Record*, Winter, 1989.

The indiscriminate filing of unnecessary paper is a waste of time, labor, and equipment. It will take you longer to file the records of your office and it will slow down the speed with which you retrieve information. You need to take steps to control how your records are created and maintained in order to avoid the unnecessary filing of documents, letters, and other material that clog your files without adding useful information to them.

The Curse of the Copy Machine

First of all, you may need to reconsider the role of the photocopy machine in your office. The photocopier has been a great blessing to record keepers everywhere, but if used unwisely it can become a curse. In many offices boxes of messy carbon paper were thrown out long ago, replaced by a photocopy machine humming away in the corner, turning out copy after copy. In most offices little thought has been given to the exact purpose of all those copies or what is to be done with them after their initial use. It is a mistake to assume that copies of documents made for convenience will be discarded; without a program of copy management and clearly defined filing controls it is almost certain they will worm their way back into your main files and begin to devour file space as well as confuse the issue as to which one is the record copy.

The use of computers in your office can lead to the same problem. The printing of disk-stored information into hard copy can flood your files with unneeded records unless the disposition of the print-outs is carefully controlled. Work-ups or drafts of a computerized document, often printed out at various stages of its composition for proofing or comment, have no place in your files - only the finished version should be placed there. When you file periodic print-outs of financial records from a database, they should replace at least some of the earlier print-outs of the same record. Your records schedule or filing plan might specify how many updates of a record should be in the file at any given time. Each update must be dated in order to avoid confusion over the most current copy.

The Need for Copy Management

The health of your files management program depends on controlling the creation and flow of copies. You should have enough problems managing the originals of the many records you create or receive without having to worry about what to do with all the copies.

You may need to reassess your current copy policies with a view to reducing to a minimum the number of copies made. Rather than making copies for each individual who must see it, use a "routing slip" and circulate one copy of a document to everyone. The routed copy may be stamped or marked "COPY" to avoid confusion between the duplicate and the file copy. Above all, you must take steps to ensure that however many copies are made, they are not placed in your main files.

The Concept of the Record Copy

Even in the best copy management program, you will occasionally need to make copies of records for circulation to concerned staff. It is very important to establish from the start which of those copies is the "official" or "record copy." The record copy of a document, usually the original, is the principal copy of the document and is usually the only one that should have a place in your main files.

After making copies of a record you have created or received, stamp the original "file copy," "official copy," or "record copy." Most current photocopiers produce copies that are virtually indistinguishable from the original, so it is important that the document be stamped after copies are made. Otherwise, you are likely to find two or more copies of the same document in your files stamped "record copy."

There are, of course, occasional exceptions to the rule that only the record copy of a document has a place in your files, but they almost always involve substantial changes to the original. For example, a dean has asked all departments heads to comment on a report concerning the proposed site of a new teaching lab. One department head, rather than writing a separate memorandum of his views on the subject, has written extensive annotations on his copy of the report and a long comment on the back of the last page. In this instance, a copy of a document has been so modified that has become essentially a different record. The person charged with reviewing the comments of the department heads decides that this annotated copy should be filed with the separate memoranda and so indicates on the face of the document.

It is important to remember that only the official or record copy of a document, report, letter, etc., is the "public record." You should consult the University Archives (x7-2165) for more information on record copies, state laws governing the disposition of university records, and the procedures for submitting annual destruction notices.

Limit or Eliminate "Extra Copy" Files

One of the principal hazards to the success of any file plan is the presence in your office of "extra copy" files. There are two types of such files - you should limit the use of one

type as much as possible, and the other you should eliminate entirely.

The first type, the "convenience" or "reading" file, is commonplace in most offices. Convenience files are created by staff members in the course of their work. They might routinely make copies of many of the records they create or receive and place the copies in their desk file for reference. Rather than working with a folder from the main files, they might make a copy of its contents. To the staff member these reading files seem very valuable and convenient, and your very best efforts are unlikely to eliminate their use entirely. But you should take steps to guard against the damage their misuse can cause to your main files.

There are two dangers involved in allowing the indiscriminate use of convenience files in your office. First, far too often the contents of these files or the folders themselves are eventually put in the file tray and end up in your main files. Second and far more harmful to the health of your files is that staff may file record copies of important documents and reports in their convenience files. Establishing a record copy for each document, as outlined above, and following the filing procedures to be discussed in a later article will help avert these dangers, but a vigorous campaign against the undisciplined use of convenience files in your office should be one of your first priorities.

The second type of "extra copy" file involves making several copies of the same document or report and filing them under different headings in your files. This duplicate filing method is widespread in offices, and it is among the most significant causes of "clogged" files. In a typical bank of five 4-drawer filing cabinets, in which duplicate filing has been the norm, it would be common to find the equivalent of as many as two full file drawers given over to duplicates. You should entirely eliminate duplicate filing from your office operations. The conventional wisdom is the that this method makes it easier to find information. That may be true, but a well-planned filing system will deliver better results without the enormous waste of space involved in the duplicate filing method.

10 WARNING SIGNS THAT YOUR FILES ARE IN TROUBLE (THERE ARE MANY MORE!)

* Too many filing places in too many parts of your office.

* Files disordered, without any apparent plan or arrangement.

* Related records are filed under different titles.

* Too much time is spent looking for files.

* Drawers are jammed with folders.

* Some of your folders are bulging with papers.

* Labels on files are difficult to read.

* Some folders slump out of sight.

* Old, obsolete records are still in active files.

* Decisions about where to file are left to each file clerk.

Technical Bulletin: Avoiding Unnecessary Filing, Part II

Grateful acknowledgement to the Local Records Division of the Texas State Library and Archives which published a version of this article in *The Local Record*, Winter 1989.

To date, four technical inserts of *The OSU Record* have dealt with filing. Issued in Summer 1991, the first in the series, "Selecting the Best Filing System," described and gave suggestions for the appropriate application of three filing systems: alphabetical, numerical, and alphanumerical. There was also a comparison of direct and indirect access systems, as well as seven annotated questions to help you evaluate the filing system you are considering. The Fall 1991 and Winter 1992 technical inserts contained detailed discussions of several indirect access filing systems: subject, geographic, numeric, and alphanumeric.

In the Summer 1992 *OSU Record*, the technical insert dealt with a number of practices that lead to unnecessary filing. There was a discussion of the need for copy management, with sections dealing with the overuse of the copy machine, the concept of the record copy, convenience files, and multiple filing of the same document. Further suggestions for avoiding unnecessary filing are included in the following discussions of filing publications and dealing with routine communications.

File Fewer Publications

If you are like most university offices, you receive a flood of catalogs, brochures, flyers, circulars, newsletters, and other printed matter. Some of these have value to you; many do not. But unless you already have a systematic filing plan, most of them have found a place in your files. For the most part, they do not belong there and only make the task of retrieving information from your files more difficult. There are a number of steps you can take to control and channel the flood of printed matter.

Start first with periodically received publications such as newsletters and magazines. Determine who in your office reads them and whether or not you wish to continue receiving them. If not, get off the mailing list! If yes, establish a separate reference file for such publications and establish how many back numbers of the publication will be kept in the file.

Establish separate reference files for vendors' catalogs, flyers, and brochures. If you maintain purchasing records, such material is obviously valuable to you, but purchase orders, invitations to bid, invoices, and similar documents are "government records," printed matter is not. To mix the two in your files is to make the periodic disposal of either more difficult. Keep only up-to-date material in your reference files, get rid of obsolete catalogs promptly!

Some record keepers customarily receive and use file specific reports or documents from other departments, but if you are not one of these and you routinely receive printed material or copies of documents from other departments (or from the state or federal government for that matter) as a matter of courtesy and the material is not relevant to your work, establish a separate reference file for it and weed it out on a regular basis. The record copies of this material are kept by the offices that created them. Maintaining or preserving them should not be your concern.

Occasionally there will be an article or item in printed material that is relevant to a current project, and a staff member wishes it placed in the main files. In such instances, encourage the staff member to photocopy the item and file the photocopy rather than the entire publication. Do not burden your files with an entire issue of magazine or a full report when only a small part of it is pertinent.

Dealing with Routine Communications

Keeping your important records properly filed is enough of a challenge without having to deal with routine material. Although less of your incoming correspondence and memoranda will be as routine as that frequently encountered in business, it is still worthwhile to establish procedures for effectively dealing with what routine material you do get. Here are some tips for dealing with routine correspondence.

When responding to requests by mail for publications or routine information, attach the requesting letter to the material sent. By returning the letter, you will not have to file it.

Devise form letters as responses to frequently asked questions. Indicate on the incoming letter the date and the number of the form sent in response. Do not file a copy of the form with the letter!

Use the "endorsement method" whenever appropriate; i.e., if there is room, write your response on the face of the incoming communication and return it to the sender. This is a particularly effective way in dealing with routine interdepartmental memoranda if you do not feel a need to keep a copy. Some governments even use the endorsement method in handling correspondence from the public. Again, by returning the incoming material, you will not have to file it.

Be aware of the applicable retention period of various classes of correspondence and file them accordingly. Retention periods may vary from one year for Transitory Correspondence, a records series that was added to page 86 of the University Records Retention and Disposition Schedule as a part of the April 1994 update, to permanent for correspondence contained in the Historical Policies Records Series, found on page 75. Filing transitory correspondence along with permanent correspondence that pertains to

office policy will result in bulging files that will have to be weeded before they are transmitted to permanent, archival storage.

Non-Record Materials

Oregon statutes recognize a category of documentation which does not fall under the retention and disposition requirements of ORS 192.005. These materials, termed collectively, "non-record materials" may be disposed of as convenience and necessity dictate. You may dispose of any of the material described below when they are non longer useful for normal operations of your department. There is in fact good reason for never filing or mixing materials that fall in to the categories below or near true university records. This list is taken from the one printed in the Archives and Records Management Handbook, page 25.

Library material: Includes books, pamphlets, circulars, newsletters, brochures, catalogs, advertisements, and similar published material. Also included are bibliographies, directories, and tabulations or compilations of information made or acquired and preserved solely for exhibition purposes. (ORS 192.005)

Extra Copies: Copies created and preserved only for reference convenience. (ORS 192.005)

Excess Stock: Includes both excess stock of publications and forms. (ORS 192.005)

Duplication Masters: Includes stencils, mats, ditto, dictation recordings if fully transcribed, tab cards, punched tape, punched cards, and magnetic recording media created and used solely for transfer of data from one medium to another. (OAR 166-40-055)

Individual Employees' Memberships: Files accumulated as a result of an individual employee's membership in professional, occupational, service, or community organizations, associations, or clubs. These never qualify as University Records.

Duplicated Records: Records which have been duplicated in another format, such as paper records that have been microfilmed, if the duplicate is retained as the record copy and its accuracy has been verified. Duplicates include photographs, micrographs, and other reproduction forms on paper, film, tape or computer-readable format. (ORS 192-170)

For copies of previous technical inserts, please contact the University Archives at 737-2165.

Also available are copies of the April 1994 revision of the Archives and Records Management Handbook which includes one new authorized record schedule and substantive revisions of 11 other record series. For copies of the revised pages or the

entire handbook, please contact the University Archives at 737-2165.

Oregon State Archives

Filing Systems

Number 6.1
Effective: January 1994

Selecting a Filing System

Records management is intended to control recorded information from its creation until its disposition. The ability to file and retrieve information easily and effectively is central to this process. Choosing the correct filing system can be difficult. This chapter provides a basis for making that choice. Although records come in all formats - paper, microfilm, audio-visual, and electronic media - this chapter will only deal with paper-based filing systems.

All filing systems have advantages and disadvantages. This chapter offers guidelines and recommendations for the selection and use of different types of filing systems. Each agency must choose a filing system which is easy to use and meets your needs.

Types of Filing Systems

All filing systems fall into three general classification categories - **alphabetic, numeric,** *and* **alphanumeric**. There are several common filing systems in each of these general categories:

Alphabetic classification organizes names or subjects by letters of the alphabet.

- In *topical* systems (also known as *dictionary* systems) one file follows another in alphabetical order. Related subjects are not grouped. Usually labeled folders are placed behind simple alphabetic guides. Topical systems are usually used for small numbers of files, since numerous subjects would require the use of an index to navigate the files.

FIGURE 1

Alphabetic Classification:
Geographic System

Salem — Sales, Marketing, Distribution, Sales
Eugene — Distribution, Advertising, Marketing, Advertising
Bend
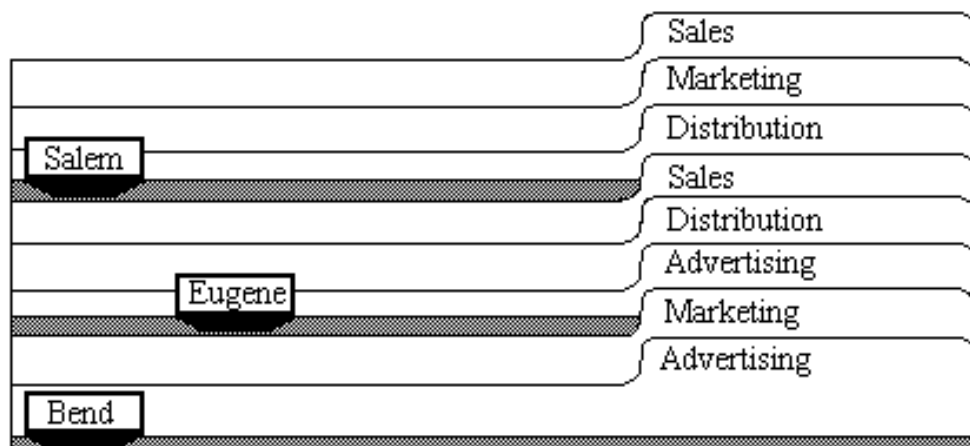
- The *encyclopedia,* or *classified,* system is ideal for large volumes of records arranged by subject. Subjects are grouped under broad categories. These are then broken down alphabetically into more

precise subjects. Major subject headings appear on dividers and secondary headings as well as major headings appear on individual folders.

- *Geographic* systems use location to arrange records. Major headings can be countries, states, counties, cities or any other geographic location. Secondary headings are arranged alphabetically under these major headings.

Numeric classifications use numbers or dates to arrange information.

- *Straight numeric* systems simply number files consecutively and arrange them in sequence. Straight numeric systems are simple to use, simple to manage, and simple to expand. There are problems with straight numeric systems, however. High activity files are often grouped, leading to congestion. It is also difficult to assign blocks of files to individuals for filing and retrieving. Finally, there is no real way to handle miscellaneous records, they usually require a separate filing system or the use of an index to retrieve.

- *Duplex numeric* system consists of two or more number segments used to classify numeric codes assigned to files. Files are arranged numerically based on combinations of these segments. For example, middle-digit systems use the middle number sequence as the major file heading, terminal digit systems use the final segment, and primary digit systems use the initial number segment. Duplex systems are usually used for large volumes of records. They allow high activity files to be evenly distributed throughout the records and support the assignment of blocks of files to individuals for filing and retrieving.
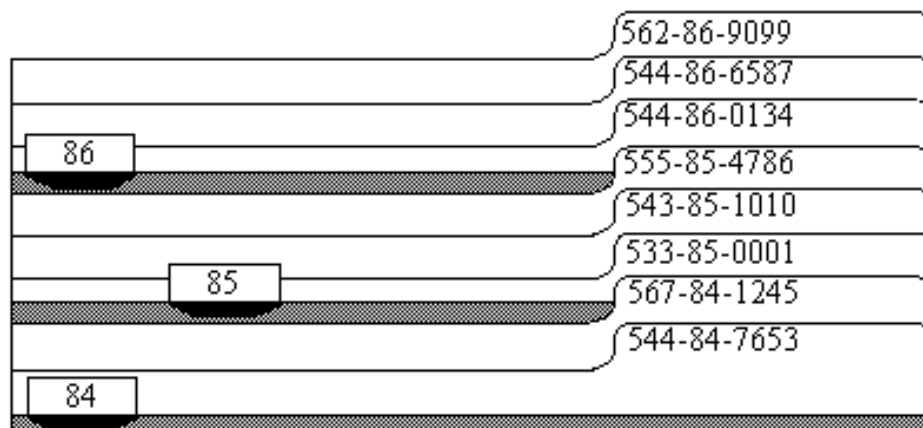
Figure 2

Numeric Classification: Middle Digit Duplex System

- *Decimal systems* use ten general divisions, which can be subdivided by groups of ten as often as needed. The most famous decimal system is the Dewey Decimal System, developed in 1873, and used in ninety percent of the world's libraries. Decimal systems allow for unlimited expansion and the grouping of similar subjects (allowing browsing) in the same location. But they are also inflexible and limited to ten general classification areas.

- *Chronologic* systems arrange files by date. Correspondence, "tickler," and suspense files are commonly arranged using a chronological system.

Alphanumeric classification uses combinations of letters and numbers.

Figure 3

Alphanumeric Classification:
Soundex Phonetic System

S500

S300

S100

S560: Summers, Mary
S550: Swanson, Tim
S530: Smith, Bruce
S365: Sturgeon, Jane
S351: Stoyanovich, P.
S330: Street, Della
S145: Spaulding, Joe
S152: Sfranski, Sue
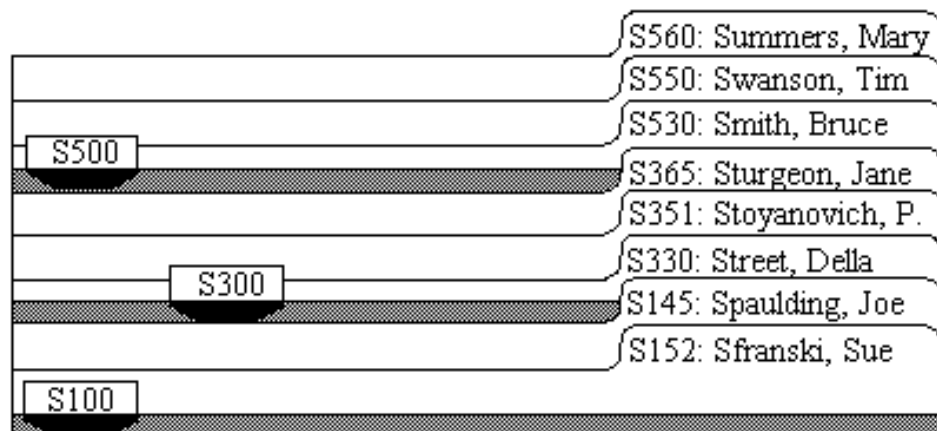
- *Subject-numeric* systems use numbers and letters to represent subjects. A good example of a subject-numeric system is the Library of Congress classification system. Most subject-numeric systems require the use of an index.

- *Phonetic systems* are used primarily for the classification of names. Phonetic systems assign numerical values to different letter sounds. This allows file searches for names which sound similar but are spelled differently. The most popular phonetic system is the Soundex system, created by Remington Rand Office Systems Division.

Which is the right system for your office?

To determine which system is right for an office's records, four questions must be answered:

- *How are the records used or retrieved?* Types of records and the usual method of retrieval may determine the filing system. For example, a numeric system would work well for purchase orders retrieved by number. An alphabetic system would make more sense for licensing files retrieved by licensee name.

- *How many records do you have?* Offices with limited records volume can often use an alphabetic filing system. Large volumes of records usually require numeric or alphanumeric systems.

- *How big is the office or agency?* Large agencies, especially those with multiple branch offices, may use an alphanumeric central filing system to insure consistent filing practices throughout the agency. Larger agencies have more people filing and retrieving records.

- *Who uses the records?* The needs of the people filing and retrieving records must be considered when choosing a filing system. The Dewey Decimal System would be inappropriate for specialized subject files where a few people with intimate knowledge of the subject use the records. It would be very useful for an agency library, however, where many people use records with which they may be only generally familiar.

Filing System Access

There are two types of access used in filing systems: direct access and indirect access. *Direct* access allows a person to find a record by going directly to the files and looking under the name of the record. Alphabetic systems are usually direct access systems.

Indirect access requires the use of an index or authority file to determine the code assigned to a record. Alphanumeric and numeric systems are usually indirect access systems. In deciding which access system is best for your agency, consider the following features.

Direct access system features

+Records can be located quickly without the use of an index.
+ Users can browse the records.
+ The system is usually easy to learn.
+ Time is saved filing and retrieving records.
+ File guides following logical divisions can speed up retrieval and filing time.
- The system is cumbersome to use when storing a large volume of records.
- Files with similar or identical names frequently cause congestion or confusion.

Indirect access system features

+ Record security is provided for all files. Without knowing the coding system, individuals cannot access specific files.
+ The system is highly efficient when used to control large numbers of records.
+ Filing and retrieval are generally more accurate than in direct access systems.
- An index must be consulted before a file can be located.
- Misfiled records may be very difficult to locate.
- Indirect access systems generally have a high learning curve.

Evaluating a Filing System

Here are some questions to ask about any system you are considering. These same questions can also be used to evaluate an existing system.

- Is the system logical? Logic speeds learning, so staff members do not have to rely on memory alone. The method behind the system should be clear and reasonable.

- Is the system practical? Does it do what you want it to do? Avoid academic and overly complex classifications. The system should be designed to use common terms known to all users of the system.

- Is the system simple? Simple here means easy to learn. The system should be as straight-forward as possible, with little (or preferably no) room for interpretation.

- Is the system functional? Does it relate to the function of the records it addresses? Classification terms should reflect the function of the records regardless of their operational location.

- Is the system retention-conscious? Your filing system should be linked to your records retention schedule in a way that allows you to move records to inactive storage, and to remove files with expired retention periods. These activities should be done according to your agency's approved records retention schedule. The efficiency and practicality of a filing system should not be sacrificed to retention considerations, however.

- Is the system flexible? You should be able to expand it when needed. Additional or different classifications might be needed in the future, or your office may experience unforeseen growth or change. Your filing system should be able to accommodate growth and change.

- Is the system standardized? Filing system terms should be standardized, because using different terms to describe the same record or subject will cause confusion. You should also have a written set of rules for all staff to follow, to avoid lost files, misfiles, and unplanned duplication of records and filing locations.

*Adapted from the Oregon State Archives **Records Management Manual** (1994).*

Oregon State Archives

Introduction to Micrographics

Number 9.1
Effective: January 1994

Definition

Micrographics is a series of activities which record reduced images of documents, called micro-images, onto fine grain, high resolution photographic film in a manner that ensures their reproduction, retrieval, and preservation.

Micrographic processes

There are two broad types of micrographic processes:

- Source document microfilm systems, in which micro-images are produced on film by photographing paper records.
- Computer-Output-Microfilm, or COM systems, in which micro-images are produced on film from digitally encoded data.

Benefits of using microfilm

- Security. Microfilmed records may be duplicated and stored in secure off-site storage, allowing recovery and retrieval of information in case of loss, theft, or damage.
- File integrity. Documents remain in fixed locations on the film, eliminating the possibility of misfiling or alteration.
- Storage savings. Microfilm requires about 2 percent of the space required to store the equivalent documents in paper format. One roll of film may contain as many as 3,000 documents.
- Duplication and distribution. Microfilm is cheaper to duplicate and distribute than the equivalent paper records.
- Retrieval. Automated or manually indexed microfilmed records can be quickly and accurately retrieved.

Silver-Gelatin Film

This is the only film which is practical for use as camera film. Silver-gelatin film is the only film recommended for preservation of long-term records.

The emulsion layer in silver-gelatin film consists of silver halide crystals suspended in gelatin. The gelatin is made from the renderings of animals. There are several properties of this material that makes it ideal for its intended purpose.

- Gelatin allows uniform dispersal and suspension of the silver-halide crystals.
- Gelatin does not adversely affect the silver-halide crystals or impede the photographic process.
- Gelatin swells, allowing penetration of the photo-chemistry.

Gelatin does present certain problems, however. It is easily scratched, and can be damaged by reader/printers. Gelatin is an organic compound, subject to bacteriological and microbiological attack.

Silver film may also be used for creating duplicates of camera film. Duplicates can be made of the same polarity or reversed polarity using silver-gelatin film. Silver-gelatin film is expensive, however, and it is usually more economical to make diazo film duplicates for use as working copies.

Diazo Film

Diazo film is used exclusively for duplicate printing and is not made for use as camera film.

The blank diazo film is imprinted with the an image, exposed, by placing the camera (silver-gelatin) film in contact with the unexposed diazo film stock and then exposing both to a strong ultraviolet light. Diazo film is then developed thermally in an ammonia chamber to form a readable duplicate copy of the original camera film.

Diazo film is inexpensive and quite easy to use. Its fast duplicating speed makes it ideal for high volume or routine duplication of camera film.

Film Formats

Microfilm is produced in a variety of formats, or microforms. Microform is the generic term for the various formats microfilm comes in. It is important to select the most appropriate format for each microfilming application.

Microforms generally fall into one of two broad categories:

- Roll microfilm
- Unitized microfilm

Roll Microfilm

Roll microfilm is simply a length of microfilm rolled onto a spool. Roll film is usually 100, 125, or 215 feet long depending on the thickness of the film base, and either 16mm, 35mm, 70mm, or 105mm wide.

Unitized Microfilm

Unitized microfilm formats contain discreet units of information. The "unit" may be a single document image or a series of documents relating to a single case or report.

Although there are some variations, unitized microforms fall into two main categories.

- ## Microfiche

  Microfiche is a 105mm by 148mm sheet of microfilm, frequently produced on a step-and-repeat camera, which contains micro-images permanently arranged in a grid pattern. The sheets have a header at the top for eye-readable (no magnification required) identification. The headers may be color or digitally coded. Microfiche is particularly appropriate for case file applications which do not require updating.

  Microfiche can also be produced by making a contact duplicate of microfilm jackets.

  A variation on standard microfiche is Computer Output Microfiche (COM Fiche). In a typical COM application, digital information is either projected on a cathode ray tube and then photographed, or written directly onto film using a helium-neon (He-Ne) laser. The physical format of COM Fiche is otherwise identical to source document microfiche.

- ## Jackets

  Similar to microfiche, a jacket is a 105mm by 148mm plastic carrier with sleeves into which single images can be inserted forming a grid pattern of images. Either 35mm or 16mm images may be used. As with microfiche sheets, jackets may have eye-readable and/or color-coded headers. The ability to rearrange images within the jacket or add subsequent images to the jacket makes this format well suited for case file applications which require occasional updating. This process tends to be labor intensive and should be used only when the application is particularly well-suited to this format.

What records should be microfilmed?

Not all records should be microfilmed. Physical characteristics of some records make them poor

candidates for filming. But there are other considerations that will help determine whether or not specific records should be converted to microfilm.

- Long-term records. Microfilming does not usually prove cost-effective unless the records to be filmed have retention requirements of ten years or longer.
- Closed inactive records. Records that are still "open" or active may not be good candidates for filming. It is difficult to amend, rearrange, or supplement records that are in a fixed position on a roll of film. Filming subsequent additions to files or records after initial filming may cause future retrieval problems.
- Large quantity data. One of the major advantages of microfilm is its high-density records storage capability - one roll of microfilm can easily contain 2,500 documents.
- Full text data. Microfilm is an imaging technology. The filmed image is a complete "picture" of the document being filmed. If all of the information in a series of records is not needed, database storage of the needed elements may be more appropriate.

Cost/Benefit Factors

Microfilm offers financial benefits when used properly.

Active office space is the least efficient and most costly place to store inactive records. For records that have short-term retention requirements (less than ten years), low-cost records center storage is the most cost-effective storage solution.

Paper versus microfilm

Hard-copy costs (Contents of 4-drawer filing cabinet)	Office	Records Center	Microfilm System Costs	
Floor space	$1,380	$18	Document preparation	$75
Storage equipment (Amortized)	$40	$3	Supplies	$0
Labor (Maintenance/retrieval)	$700	$10	Labor	$375
Total annual cost	$2,120	$31		$450

If your web browser is not able to see tables, click here to see an image of the figures above.

It is clearly more cost-effective to store inactive records in a records center than in active office space. However, microfilm may be a cost effective alternative for some records in specific circumstances.

If you decide to use microfilm in your records management program you must decide whether to do it yourself or contract with a commercial service bureau. The University Archives works with the departments to develop and administer contracts for micrographic services through commercial vendors. Contact the University Archives for more information.

Microfilm storage

Proper storage of micrographic material is necessary to ensure that the film will last for the life span (retention period) of the records. The importance of proper storage of microfilm cannot be overstated. However, archival storage conditions alone will not guarantee the permanence of the film.

American National Standards Institute's published standard, ANSI - IT9.11, specifies storage conditions.

Short and medium-term

Short to medium-term film (a retention period of less than twenty years) shall be stored in a room with a relative humidity between 30 and 60%. Peak temperature shall not exceed 77 degrees F, ideally it should be lower than 68 degrees F.

Long-term

Long-term film shall be stored in a room with relative humidity between 20 and 30%. Temperature may not exceed 70 deg F. Humidity and temperature should be monitored at all times.

Security film should always be viewed on a light table rather than a reader. Reader-Printers can scratch security film.

The Security Copy Depository (SCD) of the Oregon State Archives Division satisfies these requirements. The Services of the SCD are available to state agencies and local governments. Storage arrangements for security storage of permanent microfilm can be arranged through the University Archivist.

Use copies

Though it is not necessary to hold user copies of microfilm to the same standards for storage and handling that security copies are held to, by following the guidelines for storage and handling of security film, you can maximize the life, and therefore the

investment, of your agency user copies.

The ten-year rule

Administrative Rule requires any records with a retention period of greater than ten years which are converted to microfilm to have a security copy of that film stored off-site. (OAR 166-30-070 (1))

Silver halide film should never be stored in the same room as diazo or vesicular film, nor should they be stored in separate rooms that share ventilation systems.

Conclusion

There are many advantages and benefits micrographics can provide as a part of your records management program. Microfilm takes less space, can provide record security, can provide rapid retrieval of individual records, can provide easy copy distribution, and can potentially produce cost reduction and/or improved records management effectiveness.

There are, naturally, some disadvantages as well. Delays, mechanical breakdown, quality control problems, and the volatility of the medium itself are problems that you may face if you use micrographics for records storage and retrieval. Vendor portrayals of micrographic systems and its possibilities have been, at times, overly simplistic and misleading. Consequently, expectations of microfilm have sometimes been unrealistic. A judicious examination of your records and what micrographics can do for them may lead to a decision NOT to microfilm. The real test of microfilm is in successful use, but each prospective application must be preceded by a careful analysis to determine if there is good justification to film.

Adapted from the Oregon State Archives **Records Management Manual** *(1994).*

Oregon State Archives

Digital Imaging

Introduction to Electronic Document Imaging Systems

Number 8.1
Effective: January 1994

Technology Overview

Electronic document imaging systems are computer-based systems that store digitally encoded document images. These systems provide image retrieval and distribution on demand. They are an alternative to paper or microfilm record systems.

In electronic document imaging systems, a scanner converts documents to digitized, electronic images. Each image gets a storage "address," and indexing software finds the image for retrieval. Both paper and microfilm documents can be converted to electronic images.

Electronic document imaging systems are commonly called optical disk systems. Optical disks are frequently used for storage in these systems because of their high storage capacity. However, electronic images can be stored on any digital medium.

An optical disk is made of two glass platters with a vacuum between them. The inner surfaces of the glass platters are coated with a metallic compound. A laser etches digital codes onto this inner surface. The computer reads these codes and translates them into images. The images can then be displayed on a video terminal.

Several kinds of optical disk are available. Some are known as WORM disks (Write Once Read Many). WORM disks cannot be edited or erased. Other types of optical disk include erasable optical disks, magneto disks, and CD-ROM (Read Only Memory). CD-ROM is usually reserved for electronic publishing.

Digital Imaging System Functions

- *Input.* A scanner brings document images into the system. The document image is digitized and compressed. Document compression normally occurs at ratios of 20:1 or 30:1, corresponding to CCITT Group 3 and Group 4 compression algorithms. CCITT algorithms have become standards for electronic document image storage.

- *Indexing.* Images are usually temporarily stored magnetically until the accuracy of the scanning has been verified. A video terminal displays the scanned image with an indexing data entry screen. An operator enters indexing information or verifies OCR/ICR indexing. The document image is then recorded on the storage medium -optical disk- and its address is recorded in the indexing database. The indexing database usually remains on the hard disk of the retrieval station or on a fileserver. The index information can be recorded directly on the optical disk. However, many users record the index only on the security copy of the optical disk.

- *Storage.* Storage subsystem choices include:
  - *Direct Optical Disk Drives*, in which a single disk is connected directly to the host computer workstation via a peripheral drive;
  - *Library Units* or *Jukeboxes*, in which multiple optical disks provide mass storage and retrieval, usually over a network of stations;
  - *Off-Line Optical Disks*, in which a single disk or multiple disks are stored "on-the-shelf" and inserted into a disk drive when access to the images on the disk is required.

- *Information Processing.* Electronic document imaging systems integrate all of the functions necessary for the processing of document information. Data entry into a mainframe or minicomputer, document annotation, referral, on-demand printing or routing to other stations, dual image display, image reduction, enlargement or enhancement, electronic mail, and graphics are all enabled in an electronic document imaging system.

  The ability of several persons at different stations to access a document simultaneously offers the opportunity to review and redesign workflow procedures, in order to increase productivity and output of processed information.

- *Output.* Images stored in electronic document imaging systems can be printed on a high-resolution laser printer. The images may be printed from multiple printers on a network, or may be directed to a dedicated printer. The images are decompressed or converted back to the original size, and software may allow the user to enhance the image before printing, resulting in a print that is better than the original.

- *Communication.* Images may be routed over a Local Area Network (LAN) in a work environment, or may be transmitted to remote stations using a fax/modem gateway. This allows immediate access to documents which may be physically distant.

Management of Digitized Public Records

At first glance, EDI systems seem more closely related to electronic records systems than to human-readable records systems. The reverse is really the case. First, EDI systems are imaging

systems. These systems store digitally encoded pictures of human-readable records. It might help to think of digital imaging as a *media conversion process,* rather than a record creation process. Second, digital images are fixed images. Unlike databases, spreadsheets, and word processing documents, digitized images are not dynamic documents. To change them into editable data, they must be converted using some sort of OCR/ICR software in much the same way that a paper document would have to be converted. Third, an index must be used to locate records in an EDI system; images do not have internal access information like electronic records.

When managing EDI systems, users must remember that the digital images are only one part of the system. Paper records are *converted* to digital images and in many cases the images are output to paper. Any consideration of records management must include the paper elements of an EDI system as well as its digitized portions.

There are four major steps in the life cycle of EDI records - creation, use, storage, and disposition.

- *Creation.* Records creation usually occurs outside the EDI system. Paper records are created and at some point are converted to digital images. When this conversion takes place depends on the purpose of an organization's EDI system. EDI systems typically are either front-office, or "mail room" applications, and back-office, or "file room" applications.

  In front-office applications, all documents are scanned into the system as soon as they are received. Workflow software may then direct the images to the appropriate workstations for action and response. The images can be directed to several stations simultaneously, allowing multiple tasks to be performed at the same time. The system can automatically prioritize the documents, queuing them at each workstation in a preset manner. This type of application is usually more task-oriented; that is, all subsequent processing of the information contained in the records is performed electronically. Conversion happens very early in the record life cycle in front-office applications.

  In back-office applications, documents are scanned into the system following the processing of the information by traditional methods. The documents are scanned into the system as a substitute for sending them to inactive files storage. Conversion happens relatively late in the records life cycle -- usually just before storage -- in back-office applications.

- *Use.* Records management priorities for active records insure that records are reliable and accurate and that they will be accessible as long as they are needed. First, quality control procedures -- for scanning verification, medium recording verification, and indexing verification -- must insure that documents being recorded are accurate, accessible, and of sufficient quality. Second, proper indexing procedures must be designed to meet the application's access and retrieval requirements. Poor indexing may result in inaccessible images. Third, back-up procedures must be developed to guard against catastrophic loss of documents. Off-site storage of back-up copies is necessary. Fourth, records retention

schedules must be observed. Oregon Administrative Rule 166-30-080 states that:

> Public records with a scheduled retention period of less than ten years may be stored on optical disk devices. The original record may be disposed of following verification of acceptable optical image quality. Public records with a scheduled retention period of ten years or more may be stored on optical disk devices provided that the original records are retained in hard copy or on microfilm for the entire scheduled retention period.

Note that the retention is set for the source documents in an EDI system. A commitment to an EDI system may well mean a commitment to preserving paper documents for a significant period of time.

- *Storage.* Commitment to an EDI system means commitment to providing secure and accessible storage for digital images. The storage characteristics of the disks used must be able to meet the access and retention requirements of the documents they hold. If retention and access requirements exceed the capability of the storage medium, the disks must be duplicated regularly in order to extend and defend the retention and access capability.

  EDI applications should include a migration strategy which provides the ability to retrieve documents recorded on optical disk as hardware and software change. The information recorded by any technology is only as good as the ability to retrieve it.

  Standards for electronic document imaging systems are constantly evolving. Standards are critical in designing and implementing EDI systems. Compliance with standards as they develop is the single best assurance that valuable information will migrate into successive electronic document environments.

- *Disposition*
  . The disposition of EDI system documents may take place intellectually or physically. If the system uses erasable optical disks as storage media, outdated information can be overwritten. If the system uses a WORM disk as a storage medium, the index information can be destroyed (effectively making the image inaccessible) or the disk itself can be destroyed. If a disk contains confidential information or information expunged by court order, the media itself and any index entries must usually be destroyed.

What will an electronic digital imaging system deliver?

Without careful planning, the most likely result of installing an EDI system will be very expensive headaches.

Most back-end applications do not warrant the expense -- records center storage or microfilming

are not as trendy, but will serve the same information needs at a reduced cost. Front-end applications are better candidates, but only if EDI can improve workflow and office efficiency.

If an EDI system is planned carefully, implemented correctly, and maintained constantly, it can provide better information management capabilities than other information processing systems. If not, the public records it stores may not be accessible to tomorrow's users.

Adapted from the Oregon State Archives **Records Management Manual** *(1994).*

Oregon State Archives

Digital Imaging

Feasibility Study

Number 8.2
Effective: January 1994

A department should perform a feasibility study to insure that a digital imaging application is appropriate for its information management needs before committing to the conversion of paper records to digital images. State universities and colleges are required to complete feasibility studies for any information system project costing more than $30,000.

While this study is useful for determining the technological feasibility of a project, it does not focus on the public records aspect of information systems. The State Archives and the University Archives recommend that public bodies perform self-studies for any information system which proposes to convert public records with retention periods of ten years or more to digitized images.

In addition to the Department of Administrative Services feasibility study, all public bodies should answer the following questions with regard to public records.

1. What are the retention requirements for the original public records?
2. Will the public body insure that long-term public access to public records is not impeded by the implementation of the proposed digital imaging system?
3. Public records custodians have the responsibility to both provide access to and copies of public records, regardless of format. Has the proposed digital imaging system taken these requirements into consideration?
4. Does the public body understand the costs involved in upgrading technology to insure the accessibility of the information for its useful life?

If the answer to any of these questions is "no," the digital imaging application should be reconsidered.

*Adapted from the Oregon State Archives **Records Management Manual** (1994).*

Oregon State Archives

Introduction to Records Disaster Planning

Number 5.1
Effective: January 1994

What is a records disaster?

A records disaster is a *sudden* and *unexpected* event which results in *loss* of records or information *essential* to an organization's continued operation.

Disaster isn't something we like to think about. It usually happens when least expected. A records disaster could happen before you're prepared to deal with it! Most disasters can be prevented or minimized at a very reasonable cost.

Consider these examples:
Example 1. Hundreds of volumes of irreplaceable research journals stored in the University of Oregon Science Library were damaged by water when rain poured through the ceiling from a broken storm-drain pipe. The pipe was broken by vibrations from building construction next door. Two days later another leak, this time in the basement wall, damaged many of the library's books. (July 1987)

Example 2. About 5:30 PM an employe smelled smoke in a state office building. After a half-hour search, a hot plate type coffee warmer, still turned on, was found with papers stacked on top. (September 1990)

Example 3. A fire at North Salem High School destroyed Student Records. (February 1990)

Consequences

The consequences of not being prepared when disaster strikes are significant and expensive. Information or records could be lost or destroyed which:

- Protect and document the agency's legal rights or interests
- Protect and document the rights or obligations of citizens
- Are needed to conduct emergency operations during a disaster
- Are needed to resume operations after a disaster

The examples above resulted in these consequences:

Example 1. One hundred seventy seven research journals and over three hundred other volumes were soaked with water. Thousands of books had to be hurriedly moved to safety. Soaked materials were frozen and taken to Oregon Freeze Dry Foods in Albany where the moisture was removed.

Example 2. The stack of papers was badly scorched. This incident was a near-miss since the papers weren't especially important and they didn't catch fire. What if someone hadn't smelled the smoke?

Example 3. Some paper records were destroyed but the information was reconstructed from computer files and teacher grade books.

How do disasters happen to records?

Types of disasters include the more *obvious*: Fire, windstorm, flood, and earthquake. Some *less obvious* things are: Vandalism, unauthorized access, loss, theft, and equipment failure. *Other unexpected and unpleasant things* could be ruining your agency's records right now, such as: Leaking pipes, insects, rodents, and mold.

Could your agency restore records lost to any of these causes?

What can you do to prepare?

One option is to ignore the possibility of ever having a disastrous event which could damage or destroy your agency's records. This is by far the most common practice. That's unfortunate and it could prove to be very short-sighted and not cost-effective.

The preferred option is to develop a records disaster program. Every government agency's records management program should include procedures designed to prevent a catastrophic event involving its records. Preparation will cost something--paying for a disaster will cost a lot more.

What are the benefits of having a records disaster program?

A few benefits include:

- Improved protection of information and records vital to agency operation
- Improved overall management through better records management
- The confidence of knowing your agency can survive and recover from a disaster and

resume operations with minimum disruption and cost
- Avoiding unnecessary legal and fiscal problems

What is involved in a records disaster program?

The basic components are:

- Prevention/Protection
- Vital Records
- Recovery

Each agency's records disaster program must be tailored to its own mission, structure, location and resources. It should provide reasonable measures to deal with probable risks. It must be periodically tested and updated.

Prevention/Protection

Prevention is a sound investment and much cheaper and simpler than trying to recover or replace damaged or destroyed records. Most disaster prevention and protection involves straightforward, low cost, common-sense measures.

Here's another definition of a disaster:
It's what happens only if you're not prepared.

Steps to take

- Issue a clear policy statement from top management initiating the records disaster program and announcing its objectives.
- Establish responsibility and authority by assigning a person to implement and manage the program and prepare a disaster plan. Ideally this should be the agency records officer. A team composed of representatives from all functional areas of the organization could be formed to assist the records officer.
- Identify, control and protect vital records.
- Survey the potential hazards to your records - correcting as many as possible in cooperation with the building manager.
  - Examples - Roof, basement storage, wiring, heating systems, plumbing, unauthorized access, theft, and loss.
- Make sure your insurance coverage is appropriate
  - Contact agency risk manager and/or Department of Administrative Services, Risk Management Division, 503-373-7475.

- Meet with police and fire departments.
- Arrange for help from recovery resources.
- Assemble and pre-position disaster equipment and supplies.
- Train disaster team members and other employes.
- Periodically test and evaluate the plan and procedures.

In a nutshell--*find out what can go wrong and fix it first!*

Vital Records

Vital records are those records that contain the information needed to continue or re-establish an organization's operation following a disaster. They document the agency's legal or fiscal position and preserve the rights of the agency, its employes, and/or citizens. Vital records are *irreplaceable* or would be too expensive to replace.

Vital Records are *not* the same as historical records. They *do not include* records which though important are replaceable at reasonable expense. Vital records are one of your agency's most important resources. The percentage of records which are "vital"range from *five* to *ten percent.*

An effective Vital Records program will ensure that your organization will be able to function following a disaster

To be successful, your vital records program must be approached from a corporate perspective to ensure that only the truly vital records and information receive special protection. Direction and support must be provided by top management. Each agency should have a records officer who has authority to coordinate an agency-wide records management program. Vital records are an integral part of the agency records management program.

The basic elements of a vital records program are:

- Identification of the vital records needing protection
- Inventory of all agency records
- Classification of all records according to relative value to essential agency functions
- Assessment of the risks
    - Dangers to specific records
- Protective measures
    - Duplication for dispersal
    - Off-site or remote storage
    - On-site secure storage

An agency that has only a vital records program is well on its way to coping with disasters. The

addition of a well-developed records disaster plan should provide the ability to cope with most disasters.

Disaster Recovery

Disaster recovery is the process of resuming normal operations following a disaster. It's what you will have to do if your best efforts at prevention don't prevail. You can't do much to prevent earthquakes or major floods. But - if your vital records are properly protected before, during, and after the disaster - salvage and recovery will be much easier, cheaper, and less traumatic.

An effective recovery plan will help impose order in the stressful and chaotic conditions which typically accompany a disaster. It will give you the luxury of making critical decisions in advance. Rapid recovery will promote customer satisfaction and maintain public confidence.

Steps to recovery

- Establish priorities for restoring agency functions.
- Identify priorities for salvaging records.
- Develop a disaster recovery plan which includes:
    - Quick reaction checklists;
    - Alternate operating locations;
    - Inventory of records and equipment;
    - Supplies and equipment in a safe place, ready to use; and
    - Contracts/agreements with disaster recovery agencies and firms.
- Train disaster recovery team and staff.
- Test and revise the plan and procedures.

Summary

Your agency's records are a valuable resource and need to be protected. This resource can be protected at very reasonable expense compared with the cost of disaster recovery. Some major disasters may be unpredictable and beyond our immediate control. Many disasters, however, can be prevented or their effects minimized at relatively low expense.

If you will take these simple, inexpensive measures to protect your agency's records and information, your chances of surviving and recovering from any records disaster are excellent.

- Identify and protect your Vital Records.
- Develop a plan and procedures to guide your agency during and following a records disaster.
- Train the staff in emergency procedures.
- Test and exercise the plan and procedures periodically.

A little planning and preparation will save an enormous amount of work and expense when disaster strikes!

This guide focuses on records only. No attempt has been made to address general disaster planning factors, such as: Life safety, communications, public order, sanitation, etc. For help in these areas contact **Oregon State Police, Oregon Emergency Management Division**, 503-378-4124.

For more detailed guidance in setting up a **Vital Records Program**, see *Vital Records*, Section 5.2.

*Adapted from the Oregon State Archives **Records Management Manual** (1994).*

Oregon State Archives

Vital Records

Number 5.2
Effective: January 1994

What are Vital Records?

Vital records are irreplaceable records which your agency needs to perform its primary mission. They contain the information needed to continue or re-establish an organization's operations following a disaster.

An agency's vital records document its legal or fiscal position and preserve rights of the agency, its employes, and citizens. Vital records are irreplaceable or would be too expensive to replace. Some records may need to be kept in their original form to be admissible as legal evidence.

Importance of a Vital Records Program

A vital records program is a cost-effective way to control the risk of loss to one of your agency's most valuable assets. An effective vital records program will ensure that your organization will be able to function with a minimum of difficulty following a disaster.

A vital records program can:

- Reduce vulnerability to litigation
- Limit exposure to unplanned (un-budgeted) expense
- Avoid loss of revenue, or sudden loss of efficiency
- Prevent a break in customer service, or even shut-down of the agency.

A vital records program is what you would wish you had - after the building burns and all your records are destroyed!

Establishing a Vital Records Program

A vital records program is a critical element and an integral part of a comprehensive records management system. Yet even by itself, vital records management is a cost effective strategy because it is a form of self-insurance.

To be successful your vital records program must be approached from a corporate perspective to ensure that only the truly vital records and information receive special protection. Direction and support must be provided by top management. The agency records officer is in an ideal position to assume responsibility for the program, having both an agency perspective and an intimate knowledge of agency records. With the support of agency management, the records officer can develop a program which protects the interests of the agency, is effective and easy to manage. Program managers should be responsible for the vital records in their program area.

There are three basic elements of a vital records program:

- *Identify the vital records*
- *Assess the risks*
- *Take protective measures*

The remainder of this chapter will explain how to perform each of these steps.

Identify the Vital Records

If the agency has an approved records retention schedule, it can be used to identify vital records. If not, the agency's records should be inventoried and scheduled. To accomplish this process contact the Oregon State Archives, Information Resources Management Unit, or your agency's records officer.

Top management should identify the agency's essential functions and the specific records which would be needed to continue or re-establish those essential functions during and following a disaster. *Essential functions are those that are critical to the organization's primary mission.* The vital records are those records which the agency must have to perform the critical elements of its primary mission. This process should produce a vital records master list.

This assessment must be as objective as possible. The records officer and program managers must work with all areas of the agency to determine who has the record copy of vital records and who has copies. Close coordination can eliminate useless duplication.

Levels of value may be assigned as follows:

1. *Non-essential records* - Loss of these records would present no obstacle whatsoever to restoring agency operation.
2. *Useful records* - Loss of these records might cause some inconvenience but they could be easily replaced. Loss does not present a real obstacle to restoring agency operations.
3. *Important records* - These records are replaceable, but at great expense. Loss presents aggravating but surmountable obstacles to resumption of operations.
4. *Vital records* - These records are irreplaceable. Without these records the agency cannot

continue operations.

A common rule of thumb is that five to ten percent of an agency's records may qualify as vital. If more than ten percent of the agency's records are designated as vital, the evaluation process should be examined.

The success of the program depends on the combined judgment and foresight of top management, program managers and records management. The resulting master list of vital records should be reviewed by the agency's legal counsel and auditors.

After identifying your vital records, the risks and hazards to those records must next be evaluated.

Assess the risks

A vital records program is a form of insurance. Risk management is a way to control and minimize risks. You can't eliminate all risks and hazards to your records but you can make better decisions before a disaster than during the chaos and pressure of an emergency.

Protection for your vital records will cost something. Costs of implementing and maintaining the program must be compared with costs of recovery from a disaster.

These costs will vary greatly, of course, depending on such variables as the agency mission, location, and type of records. For the program to be cost effective the consequences of losing certain records must outweigh the costs of protecting and preserving them. If you can replace certain records for less than it would cost to preserve them - they probably aren't vital.

Risk assessment should examine the following areas:

- Environmental risks - *Environmental risks* include nature and weather related factors such as earthquakes, floods, windstorms, and humidity. Building related risks could include plumbing, wiring, inadequate alarm systems, heating/air conditioning systems, and leaking roofs. Other environmental dangers are insects and animals.
- Technical risks - *Technical risks* are hazards to computer systems and records from things like power surge, static electricity, improper grounding, and poor virus protection. Other problems could be inadvertent deletion of data, files not backed up, improper storage for disks/tapes, and incomplete software documentation.
- Security risks - *Security risks* involve such things as building access, records access, keys, locks, alarms, and improper destruction of confidential records.

By identifying and eliminating as many of the hazards as possible, you can reduce your exposure and the risk of a disaster to your records and assure that your agency will be able to continue to function reliably. Once the vital records are identified and the various risks analyzed and minimized the last step is to decide on economical and effective methods of protection.

Take protective measures

The three most common methods of protecting vital records are:

- Duplication and dispersal
- On-site secure storage
- Off-site secure storage

Duplication and dispersal

There are two basic types of duplication, each of which may involve dispersal. The first type involves preparing extra copies when the record is created. The second is to reproduce existing records for the sole purpose of protection.

This duplication may be done by various processes, such as photocopying or micro-imaging. To maximize the cost benefit, use the copies for a purpose other than just protection, if possible.

Routine dispersal consists of having duplicate copies in a second location for normal business needs. Records are often distributed to other locations as part of regular operating procedure. Examples of this are information copies sent to branch offices and documents filed with other agencies. If you want to depend on this form of dispersal to protect your vital records in case of a disaster, the offices or agencies need to know that. *Reliable arrangements* must be made regarding retention and protection requirements. If records require special equipment to make the information available, such as a microfilm reader/printer, computer hardware and software-- arrangements must be made in advance. This built-in, or routine dispersal of vital records is the least expensive method.

Improvised or planned dispersal is when an additional copy is created solely for protection. The copy is then sent to a vital records depository or other location for security. At the outset of a vital records protection program it may be necessary to duplicate all the existing documents.

On-site storage

Vaults, safes, file rooms, and fire-resistant cabinets and containers provide varying degrees of protection for vital records. They can be located in or near the office area.

Underwriters Laboratories has produced standards that rate the temperature and humidity levels records can undergo before deterioration. Paper can withstand 350 degrees Fahrenheit and 65% relative humidity, while magnetic and photographic media can only tolerate 150 degrees Fahrenheit and 85% relative humidity.

Vaults are very expensive to build but may be justified if the volume of records is high or the needs of the agency dictate this level of protection. In buildings with high fire risk, a vault may

be the only way to protect records. Standard vault doors come with two, four, and six hour ratings.

Vaults resist fire, but they are not immune to water damage. Underground basement vaults are susceptible to water leakage from faulty plumbing, as well as from water used to extinguish fires.

Selected Record Container Fire Resistance
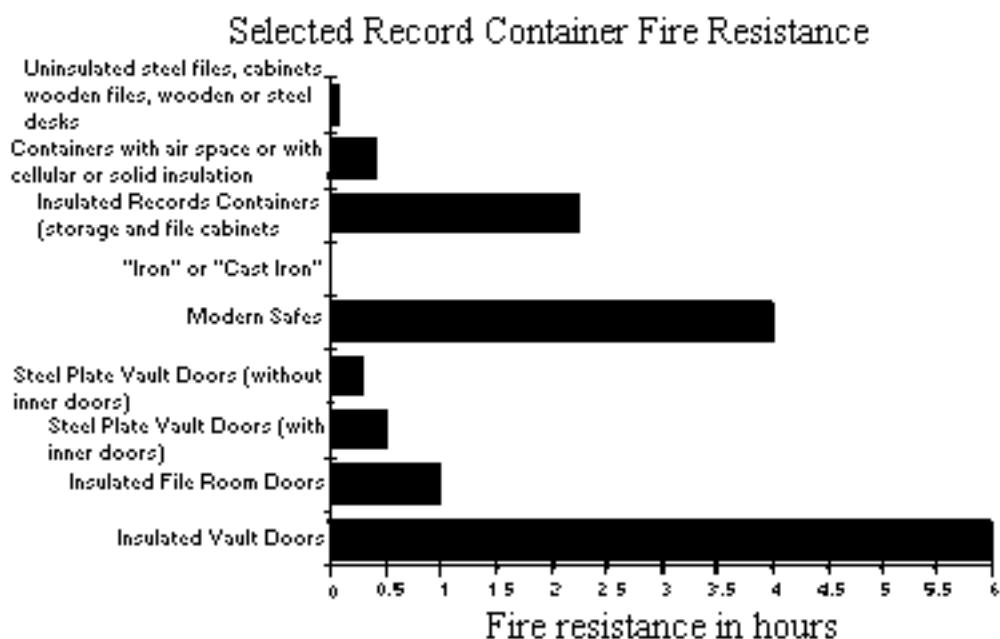
While fire-proof safes do not give as much protection as vaults, they will resist fire for up to four hours. Safes are useful for small volumes of records and for locating the records close to the point of use.

File rooms and fire-resistant cabinets and containers naturally provide less protection than the heavily insulated walls and doors of vaults and safes. They are also less expensive.

Evaluate the risks associated with the loss of the information before investing in any of these on-site storage facilities or containers.

Off-site storage

Off-site storage facilities can provide extra security and protection to original vital records and economical storage for those that are used very little. It is less likely that an off-site storage facility will be affected by the same disaster that occurs to your primary building. Unlike dispersal techniques where vital records may be distributed to a number of off-site locations, central off-site storage simplifies access. Also, off-site storage usually costs much less than active office space.

Whether the off-site facility is owned and operated by the organization itself, or by another agency or commercial firm, certain factors influence the choice of storing vital records in a remote location. The facility should be located away from high-risk areas, such as rivers, geological faults, coasts, volcanoes, and man-made structures which might pose a threat. The

facility must be accessible to the organization during normal and emergency conditions.

Fire safety, atmospheric conditions, pest control, security, and technical services must be carefully evaluated. You may need a communication link between the normal office and the remote facility. Options include agency-owned storage, commercial records centers, and cooperative records centers.

Another alternative is the State Records Center. It provides remote storage, filing and retrieval service, and security at very low cost to the agency. Refer to Section 10, *Storage*, or call the Records Center at 503-373-1001 for more information.

The most important factor in choosing ways to protect your vital records is cost-effectiveness. Since relative security is all you can expect to achieve, the best choice is the one which most closely matches the cost of protection with the degree of risk.

Vital Records operating procedures

Your agency will need written policies and procedures covering the use of Vital Records during daily activities, in emergencies, and after disasters. These procedures should cover at least the following areas:

- Access to vital records
- Use of vital records
- Transfer and disposition of vital records
- Emergencies
- Recovery from disaster

Vital records policies should be communicated to the entire staff. The staff should be trained in emergency procedures so that everyone knows what to do when disaster strikes.

The agency should also have a plan for resuming operations following a disaster. This plan should be tested and exercised periodically.

Summary

A vital records program is a cost-effective way to control the risk of losing valuable assets. Your agency's vital records can't be replaced. They document essential functions which are critical to your primary mission. The vital records program should be an integral part of a comprehensive records management system. The program involves identifying the vital records, assessing and minimizing the risks to those records, then taking protective measures. All those efforts should be tied together by implementing agency-wide policies and training the staff in emergency procedures.

The need for a disaster salvage operation is inversely proportional to the extent that an organization's vital records are properly identified and protected.

An effective Vital Records program will ensure that your organization will be able to function with a minimum of difficulty following a disaster!

This guide focuses on Vital Records. No attempt has been made to address general disaster planning factors, such as life safety, communications, public order, sanitation, etc. For help in these areas contact **Oregon State Police, Oregon Emergency Management Division,** 503-378-4124.

For more information regarding **records disaster planning** see *Introduction to Records Disaster Planning,* Section 5.1.

Adapted from the Oregon State Archives **Records Management Manual** *(1994).*

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Broadcast film or television	$100/image
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Public Display	$50/image

Use of motion picture films or videotapes:
$10/second with a minimum $50 charge

Notes:

1. Publication fees are not applicable to Oregon University System institutions, non-profit organizations, individuals, or commercial contractors producing materials for Oregon State University.

2. Publication fees can be waived by special request to the University Archivist.

Oregon State University
Administrative Policies and Procedures

Archives & Records Management Handbook

Chapter 5 University Records Retention and Disposition Schedule -- Common Series

Common Record Series

Academic and Unclassified Employees Personnel Records (Supervisor's Copy) [OAR 166-475-0095(2)]

This series documents the academic employee's work history maintained in the office of the dean, director, department head, or vice provost. It includes evaluative materials and non-evaluative information such as job title, rank, full-time equivalency (FTE) or appointment percentage, dates of employment, salary, employing department, education and employment background. Some of the documents comprising this series include confidential information such as social security number, birth date, and marital status. These records may be for full-time, part-time, and/or courtesy academic employees. Records may include but are not limited to: Activity Reports; copies of Affirmative Action Compliance Data Forms; Applications for Admission to Graduate School; applications, contracts, and other records for sabbatical leave; emeritus faculty status letters; Employee Emergency Medical Information Forms; Applications for Academic Employment; Athletic Contracts/Overseas Agreements; Awards; Conditions of Employment Forms; Notices of Appointment; Overload Compensation Requests; Patent Rights Waivers; Pay/Budget Action Forms; Periodic Reviews of Faculty letters and records; forms documenting personnel actions, including Salary Adjustments and Summer Session Appointments; professional development records; Proposals for Academic Appointment; recommendations; reports of conferences attended; Staff Reports of Service to the Institution; Periodic Reviews of Administrators Summaries; reprimands; Requests for Approval for Outside Employment; resumes or curriculum vitae; Retirement Agreements; Sick Leave Accrual Forms; Teaching Evaluations; Student Evaluations of Faculty Summary Reports; Technology Transfer Agreements; Tenure Relinquishment Agreements; Employment Eligibility Verifications (Form I-9); Vacation Leave Report Forms; home address/telephone disclosures; and other relevant documents and correspondence, including commendations, letters from the chair or the dean concerning the nature of the faculty member's appointment and the expectations of the faculty member, letters granting fellowship, letter of position offer, letter of resignation, memoranda of agreement, Notices of Disciplinary Action, Notices of Layoff, and unsolicited letters praising teaching or participation in a conference.

Record Copy: Institutional executive offices, Colleges, Units
Retention: 5 years after employee separation

*NOTE: Some duplicate fiscal records may be found in the OSU Foundation Office and Business Affairs. **CONFIDENTIAL DESTRUCTION:** Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the OSU **Archives and Records Management Handbook** for more information.*

Academic Program Administrative Records [OAR 166-475-0025(1)]

This series documents the daily and routine administration of academic programs of the department or college. This series may include but is not limited to: registration reports; add-drop analyses and reports; course enrollment summaries by class; graduation summaries; majors by class level; international activities; cooperative ventures; summer term classes and enrollment reports; placement information; convenience copies of reports prepared by admissions, registrar's, budgets and planning, and other offices; memos; working papers; and related documentation and correspondence.

Record Copy: Colleges, Units
Retention: 2 years

Accounts Payable Records [OAR 166-475-0050(2)]

This series documents a department's expenditures and purchases. The series may also be used to research, evaluate, and monitor prior transactions and/or track the budget. Records may include but are not limited to: departmental purchase orders; contract release orders; balance sheets; bills; invoices; invoice vouchers; journal voucher/entry forms; price quotes; State of Oregon "B" Purchase Orders; departmental requisitions; justifications of purchases; payment authorizations; reports of receipt of goods or services; and related documentation and correspondence.

Record Copy: Business Affairs
Retention: 6 years

Other copies: Units
Retention: 2 years

Accounts Receivable Records [OAR 166-475-0050(3)]

This series is used by departments and offices to provide a record of billings and collections for the office and units/programs which report to the office. It is also used to provide a record of customers owing monies and to reconcile the account. Records may include but are not limited to: Account Edit sheets; classified advertisement forms; VISA/Mastercard payment forms; invoices; journal vouchers; receipts; and related documentation and correspondence.

Record Copy: Business Affairs
Retention: 6 years after collected or deemed uncollectable

Other copies: Units
Retention: 2 years

Administrative Reports [OAR 166-475-0010(1)]

This series documents the annual activity of the institution and its subdivisions. This disposition includes reports prepared for OUS by the president of the institution. Final annual reports may be printed and bound or they may be less formal unpublished documents prepared for limited distribution. Report sections may include but are not limited to: administrative activities; goals and objectives achieved; fiscal status; project work performed; personnel activity and accomplishments; facility changes; and related sections. This series may include but is not limited to periodic statistical reports; summarized statistical reports; copies of reports from other units; other working papers; final annual reports; and related documentation and correspondence.

Record Copy: Creating units
Retention: Permanent for final annual reports and periodic and summary statistical reports not reflected in the final annual report; until superseded or obsolete for all other records
Annually transfer one copy of the annual report and copies of periodic and summary statistical reports not reflected in the final annual report to the custody of the University Archives.

Other copies: Receiving Units
Retention: Until superseded or obsolete

Affirmative Action and Equal Opportunity Records [OAR 166-475-0095(3)]

Series documents agency, institution, college, department, or unit compliance with regulations of the U.S. Equal Employment

Opportunity Commission including affirmative action. Records may include but are not limited to mission, goal, and policy statements, plans showing how compliance will be accomplished and updates, EEO-6 and Vets 100 Employment Reports, statistical, status, and audit reports, executive department printouts, Ways and Means reports, AA compliance data sheets, case histories, and related documentation and correspondence.

Record Copy: Affirmative Action
Retention: Permanent for narrative reports, policy, mission and goal statements, Equal Opportunity and Affirmative Action plans, and audit reports; 20 years for EEO-6/Vets 100/Ways and Means reports and Executive Department printouts; 10 years for statistical and status reports, case histories, correspondence, and related documentation; 3 years for all other records.
*Transfer the record copy of all permanent records to the University Archives after **10** years.*

Other copies: Units
Retention: 3 years

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*CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Agency Relations Records [OAR 166-475-0010(4)]
This series documents the institutional interactions with local, state, national, and international government agencies, educational institutions, businesses and groups to gain their assistance with the development and coordination of institution research and instructional programs. This series may include but is not limited to: reports; copies of publications; minutes; background information; and related documentation and correspondence.

Record Copy: Colleges & units
Retention: 6 years

Annual Fiscal Reports [OAR 166-475-0010(6)]
This series documents annual fiscal year-end status of accounts and is used to provide the office with summary information relating to its programs which may be used for planning or review. Records include: Period 14 reconciliation reports; annual operating statements; schedules of rates; and related correspondence.

Record Copy: Business Affairs
Retention: 10 years

Other copies: Colleges, Units
Retention: 3 years

Association and Organization Advisory Records [OAR 166-475-0010(5)]
This series documents the relationship and participation of institution units in professional and educational associations and other organizations. The unit's role may be one of membership on the advisory or administrative board, participation in a task force or subcommittee, or one of membership in consortia. This series may include but is not limited to: promotional information; rules and regulations; reports; proposals and planning records; workshop and conference records; surveys and questionnaires; minutes; and related documentation and correspondence. This series does not include individual faculty or staff membership information.

Record Copy: Colleges & units
Retention: 3 years

> *NOTE: Office records of adjunct organizations may be transferred to the University Archives after **3** years for inclusion in the Manuscripts Collection.*

Awards Records [OAR 166-475-0010(8)]

This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: applications; nomination letters; eligibility terms and selection criteria; recommendations; transcripts; letters of award notification or denial; letters accepting or declining awards; summary lists of winners; biographies; demonstration of need documentation; press releases; award history and information on funding sources; and related documentation and correspondence.

Record Copy: Administering units
Retention: Permanent for eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases; 1 year for all other records
*Transfer the record copy of all permanent records to the University Archives after **3** years.*

Other copies: Receiving units
Retention: 1 year

Biographical Records [OAR 166-475-0100(5)]

This series contains biographical data for institutional faculty and staff. The records are used for public information releases and reference by the institutional staff to provide responses to inquiries. This series may include but is not limited to: biographical sketches developed by the office of employment, the individuals concerned, or other sources; vitae; photographs; personal history data sheets; newspaper clippings; retirement notices; funeral programs; and obituaries.

Record Copy: Creating units
Retention: Permanent
Transfer records to the University Archives when no longer needed.

> **CONFIDENTIAL DESTRUCTION:** *Non-permanent records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Book Order Records [OAR 166-475-0025(2)]

This series provides a record of books ordered for courses taught in the department. This series may include but is not limited to: the institution textbook request forms which includes authors, titles, publications, course numbers, and expected enrollment; other forms; and related documentation and correspondence.

Record Copy: Units
Retention: 1 year

Budget Maintenance Records [OAR 166-475-0015(3)]

This series documents the changes made in the initial unit budget as distributed by the institution's budget office at the beginning of the new fiscal year. This series may include but is not limited to: Budget Change Request Forms; budget change suspense records; budget change registers; authorization for budget change forms; copies of revised unit initial budgets; fund transfer notices; spread sheets; expenditure and obligation reports; allotment reports; and related documentation and correspondence.

Record Copy: Units
Retention: 4 years

Budget Planning, Projection, and Preparation Records [OAR 166-475-0015(4)]

This series is used to develop the initial institutional budget, plan budget requests for and document annual budget allocations to individual units, and record changes in operating budgets of the various financial accounts. Records may include but are not limited to: budget requests; budget status reports; budget change requests, registers and logs; budget detail reports; working papers including spread sheets, expenditure projections, salary and budget worksheets; allotment, capital outlay and equipment need reports; unit budget preparation instructions; and related documentation and correspondence.

Record Copy: Budgets & Planning
Retention: 10 years

Other copies: Units
Retention: 4 years

> *CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Cash Records [OAR 166-475-0045(4)]

This series provides a record of cash received or disbursed by an office. It also documents all money received and deposited to departmental accounts through the cashier's daily bank deposits. Records may include but are not limited to: departmental deposit vouchers; cash receipt slips; validation receipts; cash register tapes; bank deposit slips; check stubs; petty cash balance sheets; check registers; Cash by Account Number reports; and monthly cash register reports.

Record Copy: Business offices
Retention: 5 years

Other copies: Units
Retention: 2 years

Charge Airfare Records [OAR 166-475-0050(7)]

This series documents airfares purchased as part of institutional business. Records include forms used to authorize the issuance of airline tickets and the charging of fares to a university account.

Record Copy: Units
Retention: 6 years

Class Lists [OAR 166-475-0110(4)]

This series provides instructional units with an official record of students enrolled in courses taught. The series is used to cross-check students who have enrolled against those who have registered as well as in the generation of statistical reports. Information in the series includes: student names; social security numbers; term; and enrollment/registration status.

Record Copy: Registrar
Retention: 1 term

Other copies: Colleges, Units
Retention: 1 term

> *CONFIDENTIAL DESTRUCTION: Non-permanent records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Classified Employees Personnel Records [OAR 166-475-0095(11)]

This series documents the classified employee's work history at the institution and includes routine evaluative materials and non-evaluative information such as job title, full-time equivalency (FTE) or appointment percentage, dates of employment, salary, employing department, education and employment background. Some documents in this series contain confidential information such as social security number, birth date, and marital status. Records may include but are not limited to: employment applications which may include skill code sheets; resumes; selected memos such as agreement or request for position change, merit increase requests and notices, request for re-employment (letter of hire), resignation letters from employees, and termination letters from employer; commendations; recommendations; reprimands; work plans; forms documenting personnel actions; personnel performance evaluations; pay/budget action forms; leave records; time and attendance records; designation of beneficiary forms; union dues information; resumes; layoff notices; awards; licenses and certificates; college credit information; employee Social Security number disclosure forms; home address/telephone disclosure authorizations and related correspondence.

Record Copy: Human Resources
Retention: 75 years for employment applications, agreements or requests for position change, merit increase requests and notices, request for re-employment, resignation letters, employer termination letters, personnel action forms, layoff notices, designation of beneficiary forms, personnel evaluations, and resumes; 3 years for letters of reprimand; 3 years after employee separation for all other records

Other copies: Units
Retention: 1 year for records of employees promoted, transferred or demoted within the institution; upon termination for all other records

*CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Closing of the Books Records [OAR 166-475-0040(6)]

Series documents the resolution and reconciliation of accounts monitored by the institution, the OUS Budget and Fiscal Policies Office, or Controller's Office at the end of the fiscal year. Records include reconciliation statements provided by each institution to OUS Budgets and Fiscal Policies or the OUS Controller's Office concerning discrepant accounts for which they are responsible and related documentation and correspondence.

Record Copy: Business Affairs
Retention: 6 years

Other copies: Units
Retention: 2 years

Committee Records [OAR 166-475-0010(9)]

This series documents the activities of standing and ad hoc committees and councils made up of members from a variety of units. The committees are charged with formulating and recommending institutional policies and procedures, establishing standards and requirements, performing an advisory function, or reviewing petitions, appeals, and deviations from policy. Types of committees include administrative committees (those appointed by an administrator) and faculty senate committees (those created by the faculty senate's executive committee). They may function as steering committees, activities committees, standards committees, planning committees, academic committees, awards committees, councils, etc. Committees may be chaired by the director of a specific unit or rotate to different chairs on a regular basis. This series may include but is not limited to: agendas; meeting minutes; reports; notes; working papers; and related documentation and correspondence.

Record Copy: Institutional executive offices; Faculty Senate, Colleges & units
Retention: Record Copy - Permanent for agendas, minutes, reports, and correspondence; 10 years for all other records of Faculty Senate Committees; 2 years for all other records of other committees
*Transfer the record copy of permanent records to the University Archives after **10** years.*

Other copies: Committee members
Retention: 2 years

> *NOTE: The record copy holder may vary according to the committee and could be a department or other functional unit. It is recommended that committee members check with the appointing unit, such as the Faculty Senate Office, or the University Archives prior to disposing of other copies of committee records.*

Computer System Maintenance Records [OAR 166-475-0070(1)]

This series documents the maintenance of the institution's computer systems and is used to insure compliance with any warranties or service contracts, schedule regular maintenance and diagnose system or component problems, and document system backups. Records may include: computer equipment inventories; hardware performance reports; component maintenance records (invoices, warranties, maintenance logs, correspondence, maintenance reports, and related records); system backup reports; and backup tape inventories.

Record Copy: Information Services, Units
Retention: For life of system or component for records related to system or component repair or service; until superseded or obsolete for records related to regular or vital records backups

Computer System Program Documentation Records [OAR 166-475-0070(2)]

This series documents the addition, modification, or removal of software from an agency computer system. Records usually fall into six categories: (a) records that document operating systems; (b) records that document the in-house creation and modification of application programs; (c) records that document the structure and form of datasets; (d) records that document the use of commercial software packages; (e) records that document the structure of the system; and (f) records that document system-to-system communication. Records may include: system overviews; operations logs; job listings; operator instruction manuals; system development logs; system specifications and changes (including narrative and flow chart descriptions); conversion notes; dataset logs; dataset inventories; dataset record layouts; hard copies of tables; data dictionaries; data directories; programming logs; program specifications and changes; record layouts; user views; control program table documentation; program listings; and commercial software manuals.

Record Copy: Information Services, Units
Retention: For the life of the system

Contracts and Agreements Records [OAR 166-475-0020(2)]

Series documents the negotiation, execution, completion, and termination of legal agreements between an agency and other parties. Series does not include contracts or agreements made for personal services or leases. Records include a copy of the official contract or agreement, amendments, exhibits, and addenda.

Record Copy: Contract Administration
Retention: Contracts or agreements documenting building construction, alterations, or repair, 10 years after substantial completion as defined by ORS 12.135(3); other contracts and agreements, 6 years after expiration.

Other copies: Units
Retention: 2 years after expiration for all records

> *Note: Agencies who enter into contracts with the federal government must ensure that their contracts and agreements meet federal requirements specified in the Code of Federal Regulations.*

Correspondence, Administrative [OAR 166-475-0010(11)]

Series documents communications received or sent which contain significant information about an institution's programs. Records include letters sent and received, memoranda, notes, enclosures, and attachments.

Record Copy: Units
Retention: 5 years

Correspondence, Executive [OAR 166-475-0010(12)]

This series documents significant events and the development of administrative structure, policies, and procedures of the office. It may also record the historical development of the office. Records may include: letters sent and received; notes; directives; acknowledgments; and memoranda. Correspondence may be intra-office, within OUS, and with non-OUS agencies, organizations, and individuals.

Record Copy: Creating unit
Retention: Permanent
*Transfer the record copy to the University Archives after **5** years.*

Other copies: Receiving units
Retention: 2 years

Correspondence, Ephemeral [OAR 166-475-0010(13)]

Series documents communications received or sent which do not contain significant information about an institution's programs (Correspondence, Administrative), fiscal status (Correspondence, Fiscal), or routine agency operations (Correspondence, General). Records include, but are not limited to, advertising circulars, drafts and worksheets, desk notes, memoranda, and other records of a preliminary or informational nature.

Record Copy: Units
Retention: Until read

Correspondence, General [OAR 166-475-0010(14)]

Series documents communications received or sent which do not contain significant information about an institution's programs. Records include: letters sent and received; memoranda; notes; transmittals; acknowledgments; community affair notices; charity fund drive records; routine requests for information or publications; enclosures and attachments.

Record Copy: Units
Retention: 1 year

Course Schedule Maintenance Forms [OAR 166-475-0025(7)]

This series documents requests for changes to be made to the institutional catalog and schedule of classes. The forms include: course numbers; course titles; locations; grading modes; course descriptions; designators; fees; and credit hours.

Record Copy: Academic Affairs
Retention: 2 years

Other copies: Units
Retention: 1 year

Credit Card Administration Records [OAR 166-475-0050(10)]

Series documents administration of credit cards issued to institutional staff and units. Records may include: applications; master monthly billing statements; individual card holders' statements; billing summaries; printouts including vendor analysis by code; number of charges and stores; use summaries; related correspondence.

Record Copy: Units
Retention: 6 years after card expiration for applications; 6 years for all other records

> *CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Oregon State University
Administrative Policies and Procedures

Archives & Records Management Handbook

Chapter 5 University Records Retention and Disposition Schedule -- Common Series

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Common Record Series

Daily Logs [OAR 166-475-0010(17)]
This series documents the day-to-day activities of the office. This series may include but is not limited to: staff member's daily schedules; daily work logs; appointment information; and desk calendars.

Record Copy: Units
Retention: 1 year

> *NOTE: Records which document crises or special events should be transferred to the University Archives for additional appraisal.*

Data Input Forms [OAR 166-475-0010(18)]
This series contains several types of paper forms that are used to create the same record in electronic form. This series may include: service requests, such as work orders and mailing orders; surveys; instructor evaluations; tests; and other forms. This series does not include accounting system input documents and listings.

Record Copy: Units
Retention: Until input and verified

Development and Endowment Management Fee Records [OAR 166-475-0040(8)]
This series documents the revenue earned quarterly on gift accounts and fees charged by the institution's development office. Information includes: dates; gift account amounts and identification numbers; earnings; department or account responsible for payment; and fee amount.

Record Copy: Research Accounting
Retention: 6 years

Other copies: Units
Retention: 2 years

Employees Training Records [OAR 166-475-0095(21)]
This series documents employee participation in training courses or programs for development purposes. Records may include but are not limited to: staff fee requests to take classes; course agendas, descriptions, and syllabi; course outlines and materials; enrollment and attendance records; training requests and authorizations; certificates of completion; and related documentation and correspondence.

Record Copy: Human Resources, Units
Retention: 3 years

> *CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Equipment Inventory Records [OAR 166-475-0030(2)]

This series documents the acquisition, location, transfer, and disposition of state-owned property and equipment. This series may include but is not limited to: Equipment Inventory Lists; OUS Physical Inventory Information cards (CO-300 Form); OUS Equipment Inventory Forms (CO-350 Form); lost/stolen property reports; Damage Or Loss Of State Property Claim; equipment transfer forms and memos; and related documentation and correspondence. The series may also include biennial equipment list; returned departmental equipment inventory lists with annotations concerning resolution of problems associated with the accountability, physical condition, and physical location of specified pieces of equipment; and accountability and responsibility statements.

Record Copy: Property Management
Retention: 4 years for biennial inventory records; 4 years after disposal of equipment from unit for all other records

Other Copies: Units
Retention: 2 years for biennial inventory records; 2 years after disposal of equipment from unit for all other records

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Equipment Maintenance Records [OAR 166-475-0030(4)]

Series documents the operation, maintenance, service and repair of institutional equipment. Records may include: purchase orders; lease agreements; warranties; instructions and operating manuals; vendor statements; service contracts; charge call bills; fax activity reports; service logs; invoices for equipment repair; purchase request forms; and memoranda.

Record Copy: Units
Retention: 1 year after disposition of equipment

Examinations, Tests, Term Papers, and Homework Records [OAR 166-475-0110(9)]

This series documents student subject mastery in institution courses. Records may include but are not limited to: examinations and answers; quizzes and answers; homework assignments; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.

Record Copy: Units
Retention: 1 term after completion for uncontested grade results; until resolved for contested grade results

> *CONFIDENTIAL DESTRUCTION: Non-permanent records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Facsimile (Fax) Records [OAR 166-475-0075(11)]

This series documents the sending and receiving of fax messages for institution business purposes. This series may include but is not limited to: logs of messages sent and received and fax cover sheets.

Record Copy: Telecommunications, Units
Retention: 1 month for fax cover sheets; 1 year for all other records

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Fund-Raising Records [OAR 166-475-0100(8)]

This series documents institutional efforts to raise funds to support program functions and facilities. This series may include but is not limited to: requests for fund-raising; individual benefactors and prospective donors files; public relations records; event planning and arrangement records; gift history reports; background on previous donations; pledges; and related documentation and

correspondence.

Record Copy: Development Office, Units
Retention: 6 years

Other copies: Units
Retention: Until superseded

Grade Rosters [OAR 166-475-0110(14)]
The series reflects grades awarded by instructors and serves as the basis for students' official academic records. Records include: student names and social security numbers; course titles and numbers; sections; grades awarded; and instructors' signatures.

Record Copy: Registrar
Retention: 10 years for records created after implementation of the Student Information System; 25 years for records created before implementation of the Student Information System

Other copies: Units
Retention: 1 year

> *CONFIDENTIAL DESTRUCTION: Non-permanent records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Graduate Assistantship Applications Records [OAR 166-475-0095(27)]
This series documents applications of graduate students for Graduate Teaching Assistantships and Graduate Research Assistantships in academic programs. Records include: applications developed by individual units; resumes and vitae; and related documentation and correspondence.

Record Copy: Units
Retention: 5 years after application or termination of employment, whichever is longer for successful applicants; 3 years for denied applicants

> *CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Graduate Students Degree Completed Records [OAR 166-475-0110(15)]
This series documents students' admission into graduate programs at the institution and their subsequent academic progress resulting in completion of degrees. (The official institutional academic record for all graduate students is maintained by the Registrar's Office). Records may include but are not limited to: applications for admission to Graduate School; notices of admission; standardized placement and evaluation exams; transcripts; requests to audit courses; major department/degree change requests; assignment of an advisor; composition of dissertation/thesis committee and any changes thereof; proposed program sheets; transmittal sheets for records; statements of goals and objectives; certification of transferred courses; grade reports; course waiver requests; removal of incomplete grades forms; seven year time-limit appeal records; oral and written exam results - preliminary, qualifying and comprehensive; report of final oral examination and thesis credit for advanced degree; thesis title card approvals; petition for change in graduate program; petitions or letters requesting exemption from institution regulations or procedures; advising checklists; transcripts from other institutions; on-leave requests and approvals, official graduation audit; program advisors' reports showing progress towards academic degrees; advancement to candidacy forms; awards; and related documentation and correspondence.

Record Copy: Graduate School
Retention: 20 years after degree completed

Other copies: Colleges, Units
Retention: 7 years after degree completed

> *CONFIDENTIAL DESTRUCTION: Non-permanent records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Graduate Students Degree Uncompleted Records [OAR 166-475-0110(16)]

This series documents students' admission into graduate programs at the institution and their subsequent academic progress toward but not resulting in the completion of degrees. (The official institution academic record for all graduate students is maintained by the Registrar's Office.) Records may include but are not limited to: applications for admission to graduate school; recommendations/ evaluations for admission; notices of admission; standardized placement and evaluation exams; transcripts; graduate school departmental action forms; requests to audit courses; major department/degree change requests; assignment of an advisor; composition of dissertation/thesis committee and any changes thereof; proposed program sheets; transmittal sheets for records; statements of goals and objectives; abstract of thesis or dissertation; certifications of transferred courses; grade reports; course waiver requests; removal of incomplete grades forms; seven year time-limit appeal records; oral and written exam results - preliminary, qualifying and comprehensive; reports of final oral examination and thesis credit for advanced degree; thesis title card approvals; petitions for change in graduate program; petitions or letters requesting exemption from institution regulations or procedures; on-leave requests and approvals; advising checklists; transcripts from other institutions; program advisors' reports showing progress towards academic degree; advancement to candidacy forms; comprehensive exam results; awards; and related documentation and correspondence.

Record Copy: Graduate School
Retention: 25 years after last enrollment for doctoral students; 10 years after last enrollment for masters students

Other copies: Colleges, Units
Retention: 7 years after last enrollment for all records

> *CONFIDENTIAL DESTRUCTION: Non-permanent records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Graduate Students Denied Admission/No Show Records [OAR 166-475-0110(17)]

This series documents the application and evaluation process for students applying to enter an instructional unit's academic graduate program who are denied admission or who were admitted but failed to enroll or withdraw. Records may include but are limited to: applications for admission to graduate school forms; records of GRE and other test scores; departmental action forms; standardized examination reports; foreign student financial documentation; departmental or college supplemental application forms; departmental or college student application status reports; letters of recommendation; resumes; transcripts; and related documentation and correspondence.

Record Copy: Graduate School
Retention: 3 years after denial of admission; 1 year after notification of admission if applicant fails to enroll; 1 year for test scores of students that do not apply

Other copies: Colleges, Units
Retention: 1 year

> *CONFIDENTIAL DESTRUCTION: Non-permanent records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Graduate Student Tuition Remission Records [OAR 166-475-0055(10)]

This series documents the remission of tuition for courses taken by eligible graduate students, such as research and/or teaching assistants. This series may include but is not limited to: authorizations; reconciled lists; account summaries; and related

documentation.

Record Copy: Payroll
Retention: 8 years

Other copies: Units
Retention: 1 year

Grant Projects Research Records [OAR 166-475-0060(4)]

This series documents the research activity associated with grant-funded projects. This series may include but is not limited to: research data; working papers; research/activity reports; summary reports; and related documentation and correspondence.

Record Copy: Principal investigators
Retention: Permanent for final research report; 5 years after final financial report is submitted and account is closed, unless otherwise specified as longer by terms of contract for all other records.
Transfer a copy of the final research report to the University Archives when it is submitted to the granting agency.

> *CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the OSU Archives and Records Management Handbook for more information.*

> *NOTE: Vice Provost for Research must have access to research records at OSU and research records which accompany principal investigators who permanently leave the University.*

Grant Proposal Funded Records [OAR 166-475-0060(5)]

This series documents grant proposals developed and prepared by the institutional units that were funded. This series may include but is not limited to: supporting statistics; demographic data; draft proposals; suggested revisions; final proposals; and related documentation and correspondence.

Record Copy: Research Accounting
Retention: Permanent
Transfer the record copy to the University Archives 5 years after the final financial report is submitted and the account is closed, unless specified otherwise by terms of the contract.

Other copies: Principal investigators, Units
Retention: 3 years after final financial report is submitted and the account is closed, unless specified otherwise by the terms of the contract

> *CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Grant Proposal Unfunded Records [OAR 166-475-0060(6)]

This series documents grant proposals developed by institutional units which have not been funded. This series may include but is not limited to: supporting statistics; demographic data; draft proposals; suggested revisions; final proposals; and related documentation and correspondence.

Record Copy: Contract Administration
Retention: 18 months after submission

Other copies: Principal investigators, Units

Retention: 18 months after submission

> *CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Grants and Contracts Accounting Records [OAR 166-475-0060(7)]

This series provides a record of the establishment and administration of individually sponsored grant and contract restricted funds accounts, documents compliance with fiscal reporting requirements, and includes billing information for accounts receivable from sponsoring agencies and from departments for gift account fees. Grants may be federal, state, corporate, or private. This series may include but is not limited to: project summaries; grant authorizations; contract documents; project budget change and adjustment forms; invoices; receipts; cashier's receipts; equipment purchase orders; prior approval request forms; account request forms; vendor telephone contact logs; subcontracts; grants and contracts monthly budget summary statements; institution billings balance sheets; SF272 reports for grants and contracts that are operating on direct payments; final financial reports; property reports; patent/invention reports; contractor's release report; assignment of refunds and rebates documents; equipment disposition reports; and related documentation and correspondence.

Record Copy: Research Accounting
Retention: 5 years after annual or final financial report is submitted unless otherwise specified as longer by the terms of the contract

Other copies: Principal investigators, Units
Retention: 3 years after annual or final financial report is submitted unless otherwise specified as longer by the terms of the contract

> *CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Independent Study Records [OAR 166-475-0110(19)]

This series documents departmental approval for students to enroll in independent study courses. Records may include but are not limited to: permission sheets with students' names; course names; number of credits; and faculty signatures.

Record Copy: Colleges, Units
Retention: 5 years

Institutional Cooperation and Relations Records [OAR 166-475-0010(26)]

This series documents the coordination and interaction between units for the cooperative administration of programs within the institution. This series is used for monitoring, planning, and coordinating research, instructional, or administrative programs of common concern to two or more institutional units. This series may include but is not limited to: copies of budget reports; activity reports; proposals; planning documents; agreements and memoranda of understanding; publicity and newspaper clippings; policy statements; working papers; and related documentation and correspondence.

Record Copy: Colleges & units
Retention: Permanent for proposals, planning documents, activity reports, policy statements, publicity; 6 years after expiration for all other records
*Transfer the record copy to the University Archives after **5** years for additional appraisal and retention of historical records.*

Institutional Planning Records [OAR 166-475-0010(27)]

This series documents the college or unit's role in the development of short-term or long-term plans for the institution. This series may include but is not limited to: instructions from the president; provosts; and/or vice provosts explaining the nature and purpose of the requested strategic planning effort; internal planning committee materials; statements of objectives and goals as developed by college or unit chairs and administrators; proposals; strategic planning reports; surveys; activity reports; informational materials; working papers; and related documentation and correspondence.

Record Copy: Institutional executive offices
Retention: Permanent for final planning reports, proposals, goal and objective statements, and instructions and explanations of process; 20 years for internal planning committee materials, surveys, activity reports, working papers, informational materials, and correspondence
*Transfer the record copy of permanent materials to the University Archives after **10** years.*

Other copies: Colleges & units
Retention: 10 years

> ***CONFIDENTIAL DESTRUCTION:*** *Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Instructors' Grade Records [OAR 166-475-0110(20)]

This series documents test scores, class work scores, and final grades for students which may be used as back-up to the official academic records held by the Registrar. Records may include but are not limited to: instructors' grade books; grade confirmation reports; grade confirmation and change records; and final grade rosters.

Record Copy: Colleges, Units
Retention: 2 years

> ***CONFIDENTIAL DESTRUCTION:*** *Non-permanent records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Internship Program Records [OAR 166-475-0110(22)]

This series is used to provide a record of the administration of student internship, practicum and cooperative education programs. Programs may be within the institution or off campus and for class credit and/or pay. Records may include but are not limited to: applications for internships inside and external to the institution; agreements with departments; postings/notices; student resumes; transcripts; copies of contracts; proposed institution listings; notes; and related documentation and correspondence.

Record Copy: Colleges, Units
Retention: 5 years

Other copies: Career Services
Retention: 1 year

> ***CONFIDENTIAL DESTRUCTION:*** *Non-permanent records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Key Issuance Records [OAR 166-475-0075(13)]

This series documents key assignments and deposits (if applicable) for institutional faculty, staff, students, and others using the institution's facilities. The series may include but is not limited to: key pinning sequence records; key issue approval forms; return forms; key inventories; hall directors' sign out forms; deposit books; bank statements; refund forms; key logs; and related documentation and correspondence.

Record Copy: Facilities Services, Housing & Dining Services, Administering units
Retention: 1 year after key is checked in

Other copies: Units
Retention: Until key is turned in

Laboratory Notebooks [OAR 166-475-0060(11)]

This series documents the routine research activities of non-grant funded research projects. This series may include but is not limited to: notebooks; binders; or any other type of journal format.

Record Copy: Units
Retention: 6 years after completion of project

> *CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the* **OSU Archives and Records Management Handbook** *for more information.*

> *NOTES: Vice Provost for Research must have access to research records at OSU and research records which accompany principal investigators who permanently leave the University. This series does not include research data from classroom instructional programs.*

Lectures and Lecture Series Records [OAR 166-475-0010(29)]

This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.

Record Copy: Sponsoring unit
Retention: Permanent for lecture committee notes, memoranda and planning materials, programs and announcements, news releases, and transcripts, and photographs; 10 years for all other records
*Transfer the record copy of all permanent records to the University Archives after **10** years.*

Other copies: Units
Retention: 2 years

Miscellaneous Accounting Reports [OAR 166-475-0040(10)]

This series documents the production of various accounting reports made by individual offices or departments on a daily, monthly, quarterly, or annual basis. These reports provide summary information relating to the department and its programs, and may be used for planning or review. Reports include operating statements, year-end projections, reconciliations, expenditures by facilities, accumulated hours and dollars by employee, summaries of assets and liabilities, sales, cost accounting, and income. This series does not include the year-end Closing of the Books Reports. Records may include but are not limited to: working papers; drafts; final reports; and related documentation and correspondence.

Record Copy: Creating units
Retention: 5 years for annual reports; 1 year for daily, monthly and quarterly reports and working papers

Other copies: Receiving units
Retention: 1 year

New Degree Program and Course Proposal Records [OAR 166-475-0025(9)]

This series documents the development of new departmental and interdepartmental degree programs, courses and related curricula that are currently under consideration for adoption. The series may also document requests to drop courses from the curriculum and/or to change the names of courses, the number of credits, or the prerequisite courses. This series may include but is not limited to: curriculum committee meeting minutes; curriculum proposals; and related documentation and correspondence.

Record Copy: Academic Affairs
Retention: Permanent for committee meeting minutes and curriculum proposals; 5 years for all other records
*Transfer the record copy of committee meeting minutes and curriculum proposals to the University Archives after **5** years.*

Other copies: Colleges, Units
Retention: 10 years

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Chapter 5 University Records Retention and Disposition Schedule -- Common Series

Common Record Series

Operating and General Ledger Reconciliation Records [OAR 166-475-0040(11)]
This series documents monthly reconciliations with the operating ledger or general ledger. Records consist of working papers and monthly reconciliation reports.

Record Copy: Unit responsible for FOAPAL
Retention: 6 years

Personal/Professional Services Contracts Records [OAR 166-475-0020(9)]
This series provides a record of Personal/Professional Services Contracts between the institution and independent contractors for professional, specialized, educational, research, creative, or custodial services. The contracts may be for any length of time, for a one-time performance of services, or for services provided on a continuing basis. Contracts are not personal services contracts if they are primarily for a tangible product, even if professional services are needed to design or install the product; if the services are for trade-related activities; or if the services are of the type that can be performed by any competent worker in the field. This series may include but is not limited to: Personal/Professional Services Contracts (OSBHE form CO-190) with terms and provisions; addenda and exhibits; selection and justification statements; input forms (Executive Department form number 1405m); authorized signature sheets; contractor selection statements; certificates of compliance with tax laws; statements as to availability of local service; statements as to whether minority services available; contract change orders; bids and agreements; performance bonds; instructions to bidders; advertisements for bids; working papers; expense claim records; and related documentation and correspondence.

Record Copy: Contract Administration
Retention: 6 years after expiration of contract

Other copies: Units
Retention: 2 years after expiration of contract

Photographs [OAR 166-475-0100(12)]
This series provides photographic documentation of institution activities, events, students, faculty, and staff with significant relevance to either the institution's or individual unit's function and mission. It may be used for student recruitment and orientation, fund-raising, publicity, publications, research, or teaching. This series includes fully identified photographs in print, negative, and slide formats.

Record Copy: Creating Units
Retention: Permanent

Transfer records to the University Archives after 5 years.

Policies and Procedures Records [OAR 166-475-0010(35)]

This series provides a record of internal development and documents guidelines for consistency and continuity in the operation of the unit. This series may include but is not limited to: mission and policy statements; planning documents outlining responsibilities and goals; organizational charts; publications preparation guidelines; emergency procedures; job descriptions; guides for office procedures which often include completed samples of all forms; handbooks; desk manuals; and related documentation and correspondence.

Record Copy: Creating unit
Retention: a) Retain 1 copy of policy and/or procedure permanently (b) Retain all other records 1 year after policy and/or procedure adopted
Transfer a copy to the University Archives upon creation for permanent retention.

Other copies: Units
Retention: Until superceded

Position Descriptions [OAR 166-475-0095(36)]

This series documents job descriptions for classified and faculty positions and is used for employee recruiting, Fair Labor Standards Act eligibility analysis, position review, and reclassification purposes. Information fields in the position descriptions may include position names, position numbers, qualifications, functions and responsibilities, duties, hierarchical data, job classification numbers, description of duties, and pay rates. Records may include but are not limited to: Position Description forms; Reclassification Position Descriptions and documentation; Classification Listings; Positions Listings; and related documentation and correspondence.

Record Copy: Human Resources
Retention: Present and two previous descriptions for each position or descriptions covering a period of 5 years, whichever is greater; 5 years for position reclassification records

Other copies: Units
Retention: Until obsolete or superseded

Postal and Shipping Records [OAR 166-475-0075(18)]

This series provides a record of items that are mailed by the department via UPS, U.S. Postal Service, Federal Express, or another carrier. Records may be used for billing and/or tracing. These records include: printing and mailing shipping forms; parcel mailing order forms; postage forms; and related correspondence.

Record Copy: Printing & Mailing Services
Retention: 3 years

Other copies: Units
Retention: 1 year

Professional Membership Records [OAR 166-475-0010(37)]

This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.

Record Copy: Units
Retention: 6 years

Program Development and Review Records [OAR 166-475-0025(11)]

This series provides a record of planning and discussions relating to the implementation of new undergraduate and advanced degree programs and any major reorganizations or changes to established programs. This series may include but is not limited to: final reports; working papers; letters of support; review agendas; faculty status reports; reviews of individual degree programs by campus and off-campus sources; and related documentation and correspondence.

Record Copy: Academic Affairs, Graduate School
Retention: Permanent for final reports, and reviews of individual degree programs by on and off-campus sources; 10 years for all other records
Transfer the record copy of final reports and reviews of individual degree programs by on and off-campus sources to the University Archives after 5 years.

Other copies: Colleges, Units
Retention: 2 accreditation/review cycles

Promotion, Tenure, and Salary Increase Records [OAR 166-475-0095(38)]
This series documents the periodic consideration of faculty who are eligible for changes in rank, tenure status, and/or pay. Records may include but are not limited to promotion and tenure dossiers compiled and presented by the faculty member as per instructions from Academic Affairs as well as other materials which are compiled and maintained for inclusion, analysis, and summarization into the dossier folders. The dossiers may include but are not limited to: candidate dossier cover form or checklist; prior service agreement; Confidential Waiver for letters of evaluation; current position description; letters of evaluation; current curriculum vitae or resume; activity summary and evaluations of teaching, curriculum development and advising from students, participants/clients, and peers; candidate acknowledgment of dossier review; student evaluations of faculty summary reports; committee signature sheets; committee findings; recommendations of administrative superiors; and related documentation and correspondence. These files should always be maintained physically separate from departmental and college personnel files, but are considered to be a part of the academic personnel record.

Record Copy: Colleges
Retention: 10 years

Other copies: Units
Retention: 6 years

*CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Property Disposition Requests Records [OAR 166-475-0030(12)]
This series documents custodial units' requests to change the status of state-owned property. A status change may consist of declaring an item surplus, salvage or scrap, lost or stolen, transferred, traded in, etc. This series includes State Property Disposition Requests (PDR forms) and related documentation and correspondence.

Record Copy: Property Management
Retention: 4 years

Other copies: Units
Retention: 2 years

Publications Records [OAR 166-475-0100(14)]
This series includes publications produced by individual institution offices. It may be used to document the activities of the office, for educational purposes and/or for informational purposes. Types of publications may include but are not limited to: catalogs; books; magazines; newsletters; handbooks; yearbooks; directories; brochures; pamphlets; media guides; guidebooks; proceedings; programs; and flyers. Series may include but is not limited to: working papers; mock-ups; drafts; and final publications.

Record Copy: Creating units
Retention: Permanent for final publications; 1 year for all other records

*Transfer a copy of each publication to the University Archives **upon completion**; this copy will serve as the record copy for the university.*

Other copies: Receiving units
Retention: 2 years

Recruiting Pool Records [OAR 166-475-0095(39)]

This series is used as a reference for prospective applicants for faculty and staff positions drawn from either previous recruitments or unsolicited applications. Records may include but are not limited to: curriculum vitae or resumes; cover letters; Applications for Employment; interview materials; position announcements; evaluations of prospective employees; and related correspondence.

Record Copy: Colleges, Units
Retention: 3 years

> *CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Registration Fee Records [OAR 166-475-0050(13)]

This series documents the payment of registration fees, which are considered travel expenses. Records may include but are not limited to: completed registration forms; journal vouchers; invoices; purchase orders; and wire transfer forms.

Record Copy: Business Affairs - Travel
Retention: 6 years

Other copies: Units
Retention: 2 years

Requisitions Records [OAR 166-475-0030(13)]

This series documents the purchase of supplies and services by the institution. This series may include but is not limited to: purchase requests; State Purchase Request Forms; field purchase orders; inter-departmental requisitions for equipment, supplies, and services; and related documentation and correspondence.

Record Copy: Business Services, Units
Retention: 4 years

Other copies: Units
Retention: 2 years

Safety Training Records [OAR 166-475-0105(23)]

This series documents employee training and certification such as for equipment operation, hazardous material handling and emergency procedures, driver training, CPR and first aid training, and asbestos awareness training for removal, abatement, or transportation. This series may include but is not limited to: sign off sheets indicating that employees have received training; instruction sheets; copies of hazardous material data sheets; informational materials; and related documentation and correspondence.

Record Copy: Units
Retention: 30 years after employee separation

Search Records [OAR 166-475-0095(43)]

This series documents the selection process for academic, classified and student positions within the institution. Records may include but are not limited to: applications; curriculum vitae or resumes; academic transcripts; samples of writing or publications; approvals of recruitment proposals; candidate lists; position announcements; position advertisements; position descriptions;

Certificate of Eligibles; copies of Affirmative Action Compliance Data Forms; Requests to Fill Academic Position Forms; interview materials such as schedules, rating sheets, tallies, screening and interview notes, review committee notes and memoranda; telephone conversation notes; and related correspondence such as cover letters and reference letters. NOTE: Application materials of successful academic and classified candidates become part of the employee's personnel file.

Record Copy: Units
Retention: 3 years after search completed for academic and classified search records; 1 year for student search records

> *CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the OSU Archives and Records Management Handbook for more information.*

Shipping Lists and Packing Slips [OAR 166-475-0030(16)]
This series documents the receipt of equipment, supplies, other items and services from vendors. The series includes: packing slips; shipping and container lists; and bills of lading.

Record Copy: Units
Retention: 1 year

Software Management Records [OAR 166-475-0070(7)]
This series documents the use of software in agency information systems. The series is used to insure that agency software packages are compatible, that license and copyright provisions are in compliance, and that upgrades are obtained in a timely manner. Records include: software purchase records; software inventories; software licenses; site licenses; and correspondence.

Record Copy: Information Services, Units
Retention: Until software is disposed of or upgraded

Special Activity Records [OAR 166-475-0010(40)]
This series documents the activities of an office which are performed in addition to its regular or main functions. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.

Record Copy: Creating units
Retention: Permanent for final reports and study designs; 3 years for all other records
Transfer the record copy of all permanent records to the University Archives after 3 years.

Other copies: Receiving units
Retention: 2 years

> *CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the OSU Archives and Records Management Handbook for more information.*

Special Event Records [OAR 166-475-0010(41)]
This series documents the efforts of a college or unit to provide informative sessions, short-courses, workshops, training programs, excursions, and celebratory events for members of the institution and the communities it serves. This series may include but is not limited to: materials on planning and arrangements; reports; promotional and publicity materials; press releases and news clippings; photographs; presentation materials and handouts; schedules of speakers and activities; registration and attendance lists; participant evaluations; and related documentation and correspondence.

Record Copy: Creating units
Retention: Permanent for planning materials, reports, promotional and publicity materials, press releases, photographs, and schedules of speakers and activities; 2 years for all other records
Transfer the record copy of all permanent records to the University Archives after 5 years.

Other copies: Receiving units
Retention: 2 years

> *NOTE: This record series does not include records of formal lecture series which are included in the Lectures and Lecture Series Records in this section.*

Staff Meeting Records [OAR 166-475-0010(42)]

This series documents the meetings of the faculty and/or staff of a college, department, or office which sets policy and procedures for the unit. Participants at meetings may be composed exclusively of a mixture of faculty, staff, administrators, and managers; specialized and task oriented sub-committees composed of unit personnel are also documented as part of this record series. These meetings may concern routine matters of procedure and topics such as program development, planning, administrative and personnel management, and assessments of future needs. This series may include but is not limited to: meeting notes/minutes; reports; working papers; agendas; and related documentation and correspondence.

Record Copy: Units
Retention: Permanent for meeting notes/minutes, agendas, and reports; 4 years for all other records
*Transfer the record copy of all permanent records to the University Archives after **4** years.*

Other copies: Unit staff members
Retention: 2 years

Student Academic Records [OAR 166-475-0110(34)]

This series documents the academic progress of graduate and undergraduate matriculated students at the institution. Records may include but are not limited to: institution academic transcripts; high school and non-institutional college transcripts; applications; notices of admission, readmission, denial and acceptance; grade reports; records of grade changes; reservation of credit requests; petitions for exemption from institution regulations and procedures; applications for withdrawal from the institution forms; advanced standing reports; standardized examination reports; letters of recommendation; vault number index card file; and related documentation and correspondence.

Record Copy: Registrar
Retention: Permanent for transcripts, applications for admission, and grade change records; 5 years for all other records

Other copies: Units
Retention: 5 years after last enrollment for all undergraduate students records; 7 years after last enrollment for all graduate students records

> *CONFIDENTIAL DESTRUCTION: Non-permanent records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Student Advising Records [OAR 166-475-0110(37)]

This series is used to provide a record of an undergraduate and/or graduate student's academic progress within a specific department and or college program. Most of the components in this record series are reference copies of records maintained in the files of the Registrar's Office and/or the Graduate School and are maintained for the convenience of the student academic advisors. Records may include but are not limited to: applications for program admission; notices of admission; grade reports; in-house grade record cards; degree program requirement lists; departmental course waiver forms; program advisors' reports showing progress towards academic degrees; advising checklist forms; advisors' notes; copies of transcripts; Program Planning Sheets; advanced standing examination reports; official graduation audits; curriculum posting sheets; recommendation letters; suspension notices; re-admission notices; comprehensive exam results; awards; and related documentation and correspondence.

Record Copy: Academic advising offices
Retention: 1 year after degree completed or last enrollment

> *CONFIDENTIAL DESTRUCTION: Non-permanent records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Student Employees Personnel Records [OAR 166-475-0095(46)]

This series documents the student employee's work history from the supervisor's perspective. This series may contain records for work-study and/or regular departmental budgeted student employees. This series may include: resumes; interview questionnaires and notes; work referral forms; Student Schedule Slips; Financial Aid Employment Reference Forms; Student Employment Registration Forms; Personnel Actions Forms; Pay/Budget Action Forms; Work-Study Time Certificates; Performance Evaluations; Employee Withholding Allowance Certificate (W-4) forms; Payroll Check Delivery Authorizations; Requests for Emergency Payroll Draw Forms; commendations; recommendations; reprimands or notices of disciplinary action; notices of layoff; letters of resignation; work permits; copies of visas and related immigration status information; Student Driver Authorization Forms; Employment Eligibility Forms (I-9); home address/telephone disclosure authorizations; and related correspondence and documents. The series may also include photocopies of each employee's drivers license; birth certificate; or Certificate of Student Employment Registration.

Record Copy: Units
Retention: 5 years after employee separation for work-study student records; 3 years after date of hire or one year after graduation, whatever is longer, for employment eligibility forms (I-9); and 3 years after employee separation for other student employee records

> *CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Student Faculty/Course Evaluation Records [OAR 166-475-0095(47)]

This series documents students' evaluations of teaching personnel and is used to help determine faculty tenure, promotion, merit increases and/or to review instructional courses and programs. These records provide students' opinions on faculty members' familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. Records include: bubble forms (input documents); course reaction inventory printouts; statistical tabulations; summary reports; and related documentation and correspondence.

Record Copy: Units
Retention: Until tabulated and verified for bubble forms; 5 years for all other records

Other copies: Individual faculty PTSI dossier
Retention: 10 years

> *CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Student Handbooks [OAR 166-475-0025(14)]

This series documents the requirements, policies, and offerings of specific instructional units for use by current or potential students. This series contains information or policies on: fields of study; faculty; academic requirements; the evaluation process; and the research proposal process.

Record Copy: Creating units
Rentention: Permanent for 1 copy of each edition
Transfer the record copy to the University Archives when superceded or no longer needed for routine reference.

Other copies: Receiving units
Retention: Until superceded or obsolete

Student Recruitment Records [OAR 166-475-0110(42)]

This series documents efforts of the institutional units to recruit students based upon disadvantaged status, academic performance, and other criteria. Records may include but are not limited to: prospects lists; interview and conversation notes; photographs; personal information forms and resumes; test scores; academic transcripts; and related documentation and correspondence.

Record Copy: Colleges, Units
Retention: 5 years

> *CONFIDENTIAL DESTRUCTION: Non-permanent records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Student Time and Attendance Forms, Restricted Funds [OAR 166-475-0090(21)]

This series documents hours worked by student employees including those on work-study who are paid from restricted fund accounts. This series is used for payroll purposes and to meet federal requirements for documenting time worked by work-study students. This series only includes departmental time and attendance forms.

Record Copy: Units
Retention: 5 years after issuance of final financial report to awarding agency by the research accounting unit for records of all students paid from U.S. Dept. of Education awards; 3 years after issuance of final financial report to awarding agency by Research Accounting for records of regular student workers paid from other restricted funds; 3 years after issuance of final financial report to awarding agency by research accounting or 5 years, whichever is longer for records of work-study students paid from other restricted funds.

> *CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Supplemental Grade Report Records [OAR 166-475-0110(48)]

This series documents grade changes submitted by instructors through the academic departments to the Registrar. Records may include but are not limited to: supplemental grade reports (SGRs); removal of I and E forms; and related documentation and correspondence.

Record Copy: Registrar
Retention: 5 years for records created after implementation of the Student Information System; 25 years for records created before implementation of the Student Information System

Other copies: Colleges, Units
Retention: 1 year

> *CONFIDENTIAL DESTRUCTION: Non-permanent records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Supplies Inventory Records [OAR 166-475-0030(17)]

This series documents the quantity and value of all supply items with a value of $4999.99 or less. Supply Inventories are required by the institution on an annual basis and mandated by OUS every 5 years. This series may include but is not limited to: a listing of institution-wide supplies inventories consolidated from each unit's submissions to the property administration office; departmental supplies inventory forms (OUS Form CO 340A); supply lists and ledgers; OUS Estimated Supplies Reports; and related reports, documentation, and correspondence.

Record Copy: Property Management
Retention: 4 years after superseded

Other copies: Units

Retention: 2 years after superseded

Theses and Dissertations Records [OAR 166-475-0110(49)]

This series documents the completion and academic acceptance of graduate theses and dissertations presented to colleges in fulfillment of requirements for graduate degrees. This series includes final and accepted copies of theses and dissertations.

Record Copy: University Libraries
Retention: Permanent

Other copies: Colleges, Units
Retention: Until no longer needed

Time, Attendance and Leave Records [OAR 166-475-0095(48)]

This series documents time and attendance and leave for faculty, classified and student employees. Records include: monthly time entry forms which may include hours worked, leave used, employee's name, supervisor's authorization, earnings information, and time distribution information; leave request forms; overtime authorization or certification; leave summary reports; leave without pay records; Work-Study time certificates and referrals; and related documentation.

Record Copy: Administering unit
Retention: 4 years

Other copies: Units
Retention: 3 years

> *CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Travel Records [OAR 166-475-0050(16)]

This series may be used: to document requests for and approval of travel by employees of the institution or the agency; to monitor travel expenditures; for planning purposes; to document changes in dates of travel, changes in the name of the traveler, changes in itinerary, or changes in funding sources within an out-of-state travel authorization; and to document approval for vehicle rental. Records may include but are not limited to: out-of-state travel authorization forms; travel itineraries; travel advance forms; travel reimbursement requests (employee and non-employee); receipts; approval memos; vehicle mileage reporting records; memos in place of itemized receipt; affidavits of lost receipt memos; authorizing signatures; and related documentation and correspondence.

Record Copy: Business Affairs - Travel
Retention: 6 years

Other copies: Units
Retention: 2 years

> *CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the **OSU Archives and Records Management Handbook** for more information.*

Unit/Institution/Organization History Records [OAR 166-475-0100(17)]

This series provides a record of the historical development of the institution; units within the institution; and organizations associated with the institution, such as honor societies, fraternities and sororities, and student/faculty/staff clubs. This series may include but is not limited to: newspaper clippings; photographs; published and unpublished historical sketches; publications; statistics; ephemera; and related documentation and correspondence.

Record Copy: Colleges, Units

Retention: Permanent
*Transfer records to the University Archives after **10** years.*

Vehicle Use Authorization and Request Records [OAR 166-475-0010(43)]

This series documents permission for employees to use their private automobiles for official use and authorization of non-employees and students to use state-owned cars. Records may include but are not limited to: private vehicle safety certification forms; private vehicle certificate lists; driver authorizations for students and non-employees; and related documentation and correspondence.

Record Copy: Units
Retention: 1 year after superseded or obsolete

Work Orders Records [OAR 166-475-0075(22)]

This series documents requests and authorizations for needed services and/or repairs to institutional property and equipment. It may also be used as a cost reference for future jobs. This series may include but is not limited to: copy center work orders; printing orders; photographic work orders; display preparation orders; microfilming orders; telephone service/installation requests and change orders; maintenance and repair authorizations; library materials preparation authorizations; and related documentation and correspondence.

Record Copy: Unit performing service
Retention: 4 years

Other copies: Unit requesting service
Retention: 2 years